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كلية الدراسات العليا

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نموذج رقم (١٨)
اقرار والتزام بالمعايير الأخلاقية والأمانة العلمية
وقوانين الجامعة الأردنية وأنظمتها وتعليماتها
لطلبة الماجستير

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عنوان الرسالة: Challenges of transferring an organizational concept to the Arab region - Assessment of the Arab countries Water Utility Association (ACWUA)

اعلن بأنني قد التزمت بقوانين الجامعة الأردنية وأنظمتها وتعليماتها وقراراتها السارية المفعول المتعلقة باعداد رسائل الماجستير عندما قمت شخصيا" باعداد رسالتي وذلك بما ينسجم مع الأمانة العلمية وكافة المعايير الأخلاقية المتعارف عليها في كتابة الرسائل العلمية. كما أنني أعلن بأن رسالتي هذه غير منقولة أو مستلة من رسائل أو كتب أو أبحاث أو أي منشورات علمية تم نشرها أو تخزينها في أي وسيلة اعلامية، وتأسيسا" على ما تقدم فانني أتحمل المسؤولية بأنواعها كافة فيما لو تبين غير ذلك بما فيه حق مجلس العمداء في الجامعة الأردنية بالغاء قرار منحي الدرجة العلمية التي حصلت عليها وسحب شهادة التخرج مني بعد صدورها دون أن يكون لي أي حق في التظلم أو الاعتراض أو الطعن بأي صورة كانت في القرار الصادر عن مجلس العمداء بهذا الصدد.

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CHALLENGES OF TRANSFERRING AN ORGANIZATIONAL CONCEPT TO THE ARAB REGION -

ASSESSMENT OF THE ARAB COUNTRIES WATER UTILITY ASSOCIATION (ACWUA)

By

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This Thesis/Dissertation ("Challenges of Transferring an Organizational Concept to The Arab Region"-Assessment of The Arab Countries Water Utility Association (ACWUA)) was Successfully Defended and Approved on 20/1/2010

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Abbreviations

ACWUA	Arab Countries Water Utilities Association
ADB	Asian Development Bank
ALS	Arab League of States
AWA	Arab Water Academy
AWC	Arab Water Council
AWUA	Arab Water Utilities Association
AWUN	Arab Water Utilities Network
ATV	Abwassertechnische Vereinigung e.V. – Technical Association for Wastewater
BGB	Bürgerliches Gesetzbuch – German Civil Law Code
BoD	Board of Directors
CEN	Comité Européen de Normalisation - European Committee for Standardization
CIM	Centrum für Internationale Migration und Entwicklung - Centre of International Migration and Development
DED	Deutscher Entwicklungsdienst - German Development Service
DGVM	Deutsche Gesellschaft für Verbandsmanagement e.V. - German Society for Management of Associations
DIN	Deutsches Institut für Normung e.V. - German Institute for Standardization
DVGW	Deutscher Verein des Gas- und Wasserfaches e.V. – German Society for Gas and Water
DVWK	Deutscher Verband für Wasserwirtschaft und Kulturbau e.V. - German Association for Water management and Agricultural hydraulic engineering
DWA	Deutsche Vereinigung für Wasserwirtschaft, Abwasser und Abfall e.V. – German Association for Watermanagement, Wastewater and Waste
EAD	Environment Agency Abu Dhabi
ESCWA	Economic and Social Commission for Western Asia
EWA	European Water Association

EC	Executive Committee
ECHR	European Convention on Human Rights
FAO	Food and agriculture organization of the United Nations
FC	Founding Committee
GA	General Assembly
GAFTA	Greater Arab Free Trade Area
GCC	Gulf Cooperation Council
GG	Grundgesetz – German Constitution
GSO	Gulf Standardization Organization
GTZ	Gesellschaft für technische Zusammenarbeit GmbH - German Agency for Technical Cooperation
GWP	German Water Partnership e.V.
GWOPA	Global Water Operators Partnership Alliance
IFAT	Messe für Wasser-, Abwasser-, Abfall- und Rohstoffwirtschaft - Trade Fair for Water, Sewage, Waste and Raw Materials Management
InWEnt	Internationale Weiterbildung und Entwicklung gGmbH - Capacity Building International- Germany
IUCN	International Union for the Conservation of Nature
IWA	International Water Association
IWRM	Integrated Water Resources Management
SEAWUN	South-East Asian Water Utility Network
SIDA	Swedish International Development Cooperation Agency
UN	United Nations
USAID	United States Agency for International Development (USAID)
UNW-DPC	UN-Water Decade Programme on Capacity Development
UN-HABITAT	United Nations Human Settlements Programme
WG	Working Group
WOP	Water Operators' Partnership

MoU	Memorandums of Understanding
MDGs	Millennium Development Goals
NGO	Non-Governmental Organization
NRW	Non-Revenue Water
PALS	Pact of the Arab League of States
SC	Steering Committee
SG	Secretary General
SIDA	Styrelsen för Internationellt Utvecklingssamarbete - Swedish International Development Cooperation Agency
SIWI	Stockholm International Water Institute
TARWR	Total Actual Renewable Water Resources
TC	Technical Committee
TOR	Terms of Reference
MWI	Ministry of Water and Irrigation, Hashemite Kingdom of Jordan

"CHALLENGES OF TRANSFERRING AN ORGANIZATIONAL CONCEPT TO THE ARAB REGION"

ASSESSMENT OF THE ARAB COUNTRIES WATER UTILITY ASSOCIATION (ACWUA)

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Abstract

The thesis examines the transfer of an organizational concept from a first world context to a "Southern" environment as a development cooperation project. The Arab Countries Water Utilities Association (ACWUA) was jointly founded by the German Agency for Technical Cooperation (GTZ) and the UN Economic and Social Commission for Western Asia (ESCWA) in 2007 and is fully operational since 2009. ACWUA is based on the example of the German Association for Water Management, Wastewater and Waste (DWA) and the new organization is supposed to develop similar activities. DWA is a successful sector-organization that developed right after the 2nd World War to support reconstruction works in Germany and developed to an organization for self-regulation of the German water sector. The situation of ACWUA differs widely from its example, since the new organization is supposed to work on a regional level and therefore lacks room for comparable activities like its German example. An analytical matrix was developed for a comparative assessment of both organizations to clarify differences and as an outcome to identify possible working fields for ACWUA. The assessment of the initiation process of both organizations was abstracted by utilizing the sociological Corporate Actor Theory following the Resource Pool Model. ACWUA is a donor-driven concept and differs already in the initiation process from its demand-driven example. Impacts of the initiation process on active contribution by members

and decision structures at the organization were thereby identified. Whereas benefits for contribution are clearly identifiable for DWA, ACWUA lacks this stimulation. The fitness of the organizations to their respective environment was assessed by an analysis utilizing concepts deriving from Neo-Institutionalism. The organizations' respective environment, their performance and internal constitution were analyzed and correlated. The maladjustment of the transferred organizational concept was identified, which induced a traceable adaptation process. The comparison showed that the complexity of the Arab region hinders ACWUA in performing activities copied from the German example. Conditions for the success of DWA are not present for ACWUA on a regional level. Whereas DWA is well connected to different actors of the German water sector, works on national and international standards, is able to influence the decision making level and is backed by a strong national industry, ACWUA lacks all these preconditions for comparable activities. Consequently ACWUA is still in the process of gaining legitimacy and needs to redefine its scope and activities to survive as a new organization.

Keywords:

Organizational Development – Arab world – Neo-Institutionalism – Corporate Actor Theory – Resource-Pool-Model

1. Introduction

1.1 Background

The Arab Countries Water Utility Association (ACWUA) was founded in 2007 as the result of a joint project of the UN Economic and Social Commission for Western Asia (ESCWA) and the German Agency for Technical Cooperation ("Deutsche Gesellschaft für Technische Zusammenarbeit", GTZ). The aim of the project was to improve water supply and sanitation services in the region (ESCWA, 2006). To achieve this aim, ACWUA has to bring together active water experts and utilities in the Arab region. Its main task is to represent and promote the common technical, managerial, legal, scientific and economic interests of water utilities in the Arab region (ACWUA, 2010a).

The GTZ contracted the German Association for Water Management, Wastewater and Waste (Deutsche Vereinigung für Wasserwirtschaft, Abwasser und Abfall, DWA) as a consultant to support the foundation of ACWUA. As a successful association of the German water sector their expertise was seen as beneficial in the setting up of ACWUA. The association for the Arab region was therefore based on the example of DWA. Thus the new organization was to have a democratic structure and members meet voluntarily in working groups to exchange their experiences. The outcome of this experience exchange would be best practice publications and training programs set up by the ACWUA. In the long run, the financial independence of the new organization should thereby be achieved.

1.2 Problem Statement

Development cooperation in recent years changed from technical assistance to a broader approach including all relevant dimensions of decision-making and all relevant levels of society. Organizational Development and Capacity Building were introduced to support a change in developing countries. Furthermore regional cooperation to sustain or enhance stability and to promote prosperity was gaining much interest among the donor countries (World Bank, 2009). The foundation of the Arab Countries Water Utilities Association is seen as a project within this framework.

Setting up regional organizations, whether they are supposed to deal with sensitive political issues or are of technical nature is a complex task. Numerous underlying factors may influence the level of cooperation and the over-all acceptance of the entity.

It is well known that technology has to undergo an adaptation process when transferred from a "Western" to a "Southern" environment as a project for development cooperation. This adaption process is seen as necessary for the transfer of an organizational concept. To trace the effects of such a transfer, the ACWUA's current state is assessed.

Furthermore an association is by definition an organization bundling interests of individual players in a specific sector (Straßner, 2006). The strongly demand-driven concept of an association consequently involves a high level of participation and ownership, which is seen as not necessarily present, when the initiation is primarily driven by the interests of a third party.

1.3 Importance/ Justification

The water sector in the Arab region is confronted with many challenges: A growing and more prosperous population, economic development and a still very important agricultural sector, all increase pressure on scarce resources. Climate change will exacerbate the situation significantly. Water utilities have to provide their services within this complex situation. But unfortunately, insufficiencies in operation, maintenance and management of utilities are leading to a worsening of the situation in many countries (World Bank, 2009).

Enhancing the performance of these utilities is of enormous importance to protect the livelihood, environment and economy of about 350 million people who currently live in the region (UNDP, 2009). The idea of an association for water utilities is new and may help to find appropriate solutions in the region, for the region, by means of experience exchange.

To support such an organization in achieving its objectives, a comprehensive study on the possible and existing challenges is justified. An identified lack of research on the specific topic highlights the importance of the assessment to be carried out in the thesis.

1.4 Objectives

The main objective of the thesis is to trace the transfer of an organizational concept and to assess possible challenges when it adapts to the new environment. Recommendations will be formulated as to how the objectives of ACWUA can be achieved and thereby how legitimacy as an organization can be gained.

In detail, the steps to achieve the main objectives are:

- Review of theories of organizational sociology and the identification of suitable concepts to assess the specific situation.
- Development of an analytical matrix to analyse and abstract ACWUA and its archetype DWA.
- Formation of a hypothesis to guide the assessment.
- Detailed analysis of the organizations following the analytical matrix.
- Discussion of the findings of the assessments in the light of the guiding hypothesis.
- Recommendations based on the identified trends.

The study furthermore aims to contribute to the field of organizational sociology by applying its theoretical concepts to the specific situation of transferring a “Western” organizational concept to the Arab region.

1.5 Previous Studies

No studies are currently available on associations for water utilities in the Arab world or any other region. Not even sociological studies on national associations for the water sector were able to be identified. Therefore experiences from related areas will be collected, combined, interpreted and transferred.

The importance of capacity development and as a part of it organizational development for the water sector is described in the various policy statements of large donor organizations (see JICA, 2006, GTZ, 2007, USAID, 2007).

Comprehensive academic textbooks such as “Organisationssoziologie” (*Organizational sociology, translation A.W.*) by Preisenhöfer (2005) summarize the current state of research in organizational studies. Specialized academic textbooks on Neo-Institutionalism by Senge and Hellmann (2006) and on Associational Science by Schmidt (1998) give an extensive overview, and scientific papers on organizational sociology provide theoretical details.

The role of associations in German society is described comprehensively in articles e.g. by Von Alemann (1996) and Straßner (2006). Further primary sources such as legal and administrative documents issued by German Ministries provide insights and facilitate understanding.

Research on the role of the DWA has not yet been conducted. A publication on the history of the organization was printed by DWA in 2007. Regularly issued DWA-Yearbooks describe the activities, and brochures and the homepage provide additional information.

The situation of the water sector in the Arab world is described briefly e.g. in the “Water in the Arab World” report by Asian Development Bank (ADB, 2009) or in reports by ESCWA (2002, 2007, and 2010) and clarifies ACWUA’s field of activities.

The current state of the Arab World is well documented in the Arab Human Development Reports (2002, 2003, 2004, 2009, and 2010). Articles on the state of civil society in the Arab World e.g. by Mattes (2008) and on the situation of associations e.g. by Moore and Salloukh (2007) and on associational freedom in the region by Marshy (2005) provide detailed insights to national policies on associations. Valbørn and Bank (2009), Mattes and Samoleit (2008), Pinfari (2009) and others summarize current developments with regard to regional cooperation in the Arab region, which are seen as influential for a regional organization like ACWUA.

Publications by the ACWUA itself and documents about the organization by DWA, GTZ and UN-ESCWA are online or can be reviewed on request.

Techniques to structure and execute expert-interviews can be found in Gläser and Laudel (2009), and general information about the structuring of empirical research and the utilization of empirical data in sociological research is provided by Atteslander (2006).

1.6 Methodology

A literature review of academic textbooks provided the necessary overview of organizational sociology. After choosing suitable theories among the available ones, more detailed literature was examined.

An analytical framework for assessing the organizations was developed by combining the chosen theories and procedures. Furthermore a target in the form of a guiding hypothesis was established.

DWA was treated as the archetype of ACWUA; therefore the assessment of the organizations was introduced by an analysis of the German association. Both organizations were analysed following a matrix, developed in order to enable comparability of the findings. However,

certain limitations for a comparison of both organizations were identified. DWA looks back on a long tradition of nearly 60 years, whereas the ACWUA exists officially only since 2007 and is fully operational since 2009. Furthermore DWA employs around 130 people as staff to carry out its various services and ACWUA is supposed to develop similar ones with only eight employees. Additionally the regional scope of ACWUA is seen as a far more complex working environment than DWA's national scope, which provides a specific framework for their activities. However, since ACWUA was set up based on the example of DWA and is supposed to work in a similar way, the comparison aims on clarifying the differences to clear expectations out the Arab organization cannot fulfil.

Primary sources were utilized for the assessment when accessible. Publications of the donors and of the organizations themselves were used to help characterize the organizations. This information was treated and will be presented in context, to disclose the full information of the documents. Semi-structured expert interviews were conducted to characterize structure, role and environment of DWA and ACWUA.

The recommendation developed are based on the findings of the assessment and combined with lessons-learnt from the South-East Asian Water Utilities Network, another regional network of water utilities that is organized differently.

2 Theoretical Section

2.1 Hypothesis

The objects of the investigation have been identified as the two associations DWA and ACWUA. For the assessment of the associations, suppositions need to be defined and a guiding hypothesis has to be developed.

Suppositions:

An organization emerges when individuals have interests which they feel can be best promoted by joint action. The structure of such bundled interests is shaped by its environment, which leads to the most acceptable form of the organization.

Hypothesis:

If an organization is initiated by a third party, the interests of the target participants are not necessarily represented nor shared. Effects on the level of active participation and contribution are assumed.

If an organizational concept is transferred, the fitness to the new environment is not necessarily a given. The organization is striving for legitimacy and undergoes an adaptation process, which can be traced to the organization's structure and explained by its interaction with the environment.

To support the hypothesis the field of Organizational Sociology will be used to provide appropriate theories and procedures.

2.2 Introduction to Organizational Sociology

The field of sociology is divided into three main parts: general sociology, empirical sociology and special sociology. Organizational sociology belongs to the latter field and is characterized by an interdisciplinary working style. Economists, sociologists and psychologists contribute to the field (Preisendörfer, 2005).

Organizational sociology goes back to one of the founders of modern sociology, the German scientist Max Weber (1864-1920) and his *Bureaucracy Theory*. Weber first wrote in the early 20^{th} century about rationalized, legal and administrative systems replacing traditional and charismatic modes of administration. Another pioneer of organizational sociology, the US-American engineer Frederick W. Taylor (1856-1915) was more interested in how societal transformation shaped new ways of production. The so called *Taylorism* involved the standardization of production inputs and working procedures (Ainamo, 2009). *Taylorism* gained great popularity, and sociology tended to become technocratic until the 1930s and 1940s when sociologists entered workplaces and started to talk to the people involved. They discovered that rational, technocratic and formalized concepts are not able to properly describe the complexity of interactions in an organization. But still organizations were primarily seen as systems in which work was carried out.

The first concepts of organizations as adaptive social systems were developed by Chester I. Barnard (1886-1961) and Philip Selznick (1919-2010). Whereas Barnard highlighted the interaction of formal and informal structures inside organizations, Selznick devoted his work to the paradox of organizations being formal, and at the same time social structures. Alvin W. Gouldner (1920-1980) codified organizations according to their inherent dualisms as rational and natural systems. Organizations finally gained recognition as important field of social scientific studies in the 1950s. Two important schools developed in the USA, one at the

Carnegie Institute of Technology following a multidisciplinary approach and the other at Columbia University, with a purely sociological research-group. Over the following 25 years these scientists concentrated on describing distinctive figures of organizations and the forces by which they are shaped. The main focus therefore was on actors and processes inside organizations (Scott, 2004).

Working at the same time as the Carnegie and Columbia schools, independent researchers started to develop the concept of organizations as open systems utilizing various interdisciplinary approaches. An *Open System Theory* describes the way in which organizations are not independent, closed structures, but interact with their respective environment. This field matured and the first theories were developed. The *Contingency Theory*, which was formulated in the 1970s, states that though organizations rely on the resources in their environment, their structure differs according to the environment they depend on. Organizations best fitted to their environment consequently perform best. The *Transaction Cost Theory* describes organizations as a means to control costs related to any action. *Resource Dependence Theory* highlights the adaptation to the respective environment of an organization and stresses the need for an organization to shape not only itself, but also its environment to minimize dependencies and balance internal-external power relations. Other relevant theories to be mentioned are the *Network Theory* (which highlights interpersonal relations) and *Organizational Ecology* (which stresses the existence of different kinds of organizations and their dynamics) (Scott, 2004). *Institutional Theory* emerged and focused on the importance of cultural features of the environment on organizations – here importance is placed on regulative, normative, and cultural-cognitive features that define social fitness (Scott, 2001 as cited in Senge, 2006b). These features are called institutions. The theory has been called *Neo-Institutionalism* since the 1970s, because scholars referred

back to the then called *Old Institutionalists* like e.g. Selznick and Gouldner who developed the first *Open System* concepts (Senge, 2006).

2.3 Explaining the Emergence of Organizations

To clarify why organizations emerge in the first place, two different explanations developed from the present canon of sociology: Organizations as *Corporate Actors* and organizations as hierarchies following the *Transaction Cost Theory*. The *Corporate Actor Theory* is more of a sociological nature and describes in a very general way why individuals merge for any kind of organizational form such as families, and clubs. The concept of organizations as hierarchies explains the necessity to merge to coordinate actions efficiently. Thus, it describes e.g. the nature of a company or an administrative body and is therefore categorized as belonging to the field of institutional economics (Preisendörfer, 2005).

For the assessment of DWA and ACWUA the *Corporate Actor Theory* has been chosen to explain the emergence of the associations. Associations of the water sector are seen as primarily organizing interest and therefore developing a common pool of knowledge and expertise. The individual interests of the members are seen as driving the establishment of such an organization, whereas reducing costs by e.g. developing standard procedures is regarded as secondary. Furthermore associations are not seen as profit-orientated and lack therefore a distinctive feature for an economic assessment. The ACWUA is not regarded as an association, because it was founded by a third party, namely GTZ and ESCWA. Nevertheless, the concept of the organization is based on the DWA, which is an association. Though the expectations of ACWUA’s behaviour are linked to that organizational concept, the theory will be applied as if the organization were an association.

2.3.1 Corporate Actor Theory following the Resource-Pool Model

Explaining organizations as *Corporate Actors* is based on the works of the US-American sociologist James Samuel Coleman (1926-1995). His book *Foundations of Social Theory* published in 1990 summarizes his work on sociological theory. He is seen as a representative of the field of *Rational Choice* and *Methodological Individualism Theory* (Preisendörfer 2005). *Rational Choice* describes a behavioural theory utilized in economics and social science. An individual is seen as behaving rationally, which means in most of the cases that he or she is basically trying to maximize personal advantage when taking any action (Bruce and Yearly, 2006). *Methodological Individualism* explains broad society-wide developments as aggregated decisions by individuals. Assessments at the macro-level of societies are therefore based on understanding the behaviour of the individual actor on the micro-level (Bruce and Yearly, 2006).

According to Coleman (1990), *Corporate Actors* emerge when individual actors join for mutual gain or protection. In principle any group in society could be a *Corporate Actor*, from a family to a workers' union. Modern organizations that are formed voluntarily by individual actors are termed new *Corporate Actors* by Coleman (1990).

Viktor Vanberg specified Coleman's general definition of organizations as (new) *Corporate Actors* in his book *Markt und Organization – Individualistische Sozialtheorie und das Problem Korporativen Handelns* (Market and Organization – Individualistic Social Theory and the Problem of Corporate Action, translation A.W.) published in 1982 and his concept gained popularity under the name of "Modell der Ressourcenzusammenlegung" (*Resource-Pool Model*, translation A.W.) (Preisendörfer, 2005).

Corporate Actors, following Vanberg's (1982, as cited in Preisendörfer, 2005) concept, develop when individual actors pool their resources. The resources in the pool are not getting managed individually anymore, but are collectively planned. Joint disposition of the pool is generates corporate gain. The corporate gain is then distributed back to the individual member. Resources may be of a material or immaterial nature or both.

In theory DWA and ACWUA as *Corporate Actors* receive resources from individual actors, who are the members (utilities, individuals, organizations etc). These resources include material and immaterial contribution. Material contribution includes money, which is paid directly as membership fees or accumulating indirectly as opportunity costs for the individual actor by voluntary contribution of time. Direct monetary contribution helps the *Corporate Actor* to set up and maintain an infrastructure e.g. an office. Of greater importance in this specific case is the immaterial contribution (namely expertise), because according to the concept of DWA and ACWUA it generates corporate gain. The concept of DWA and ACWUA is based on the idea that members share information and knowledge, as immaterial contribution to the *Corporate Actor*. The corporate gain distributed back to the individual member is again information and knowledge in a reviewed and therefore processed form. To put it simply: One member has specific knowledge about a certain field, contributes this knowledge to the pool and receives processed knowledge about another specific field on which he/she lacks information about. This exchange does not have to be balanced as such, but all contributors need to see an advantage in sharing.

The previous short description of the model already contained the three main critical aspects when establishing and operating a *Corporate Actor* (Vanberg, 1982 as cited in Preisendörfer, 2005):

- The problem of initiation and participation: Individual actors have to decide whether they are going to contribute to the *Corporate Actor*.
- The problem of decision and disposition: Individual actors have to reach agreements on how to use the pooled resources.
- The problem of distribution: It has to be agreed on how to distribute corporate gain back to the individual actor.

Figure 1 shows a graphic representation of the *Resource-Pool Model* and the three critical aspects mentioned:

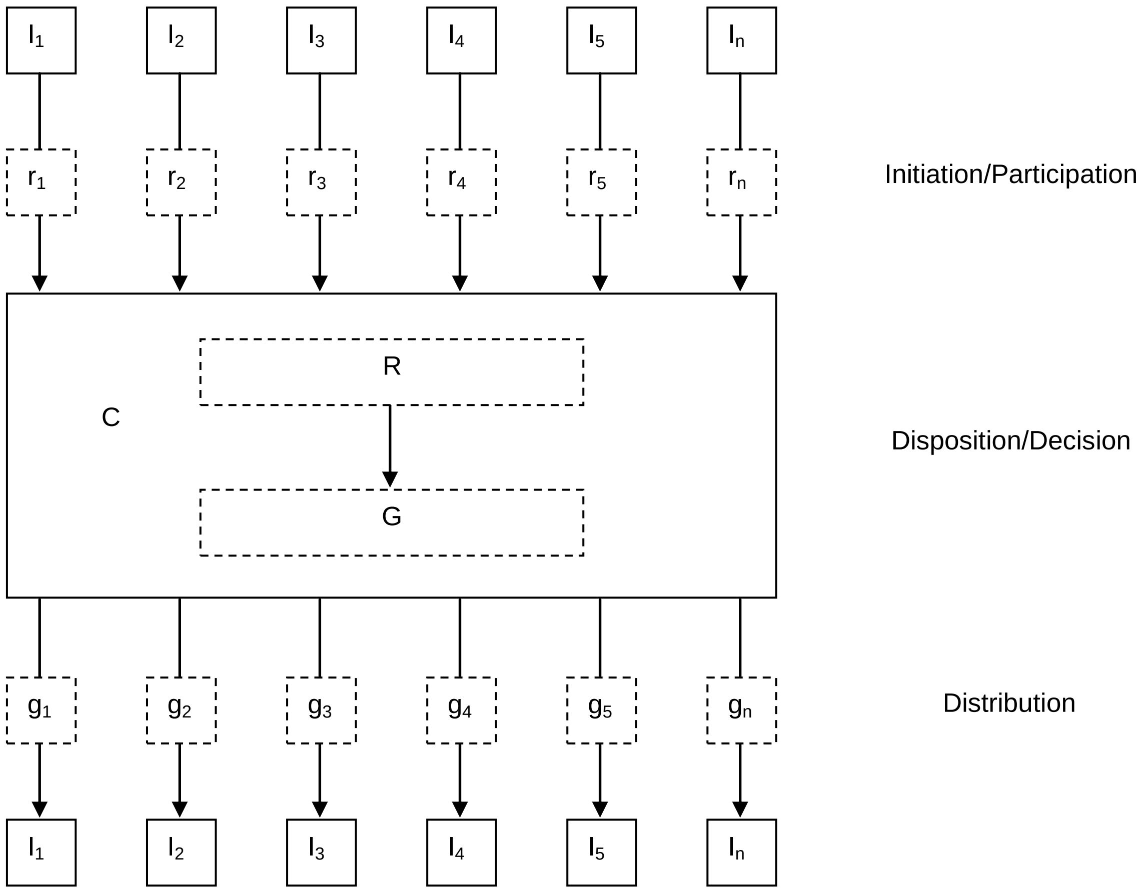


Figure 1: Resource-Pool Model (Preissendörfer 2006, modified by the author, 2010)

I_1 – I_n are the individual actors, r_1 – r_n the resources they are contributing, R is the pool of resources at the corporative actor C, G is the corporative gain and g_1 – g_n the shares of the corporative gain that are distributed back to the individual actor.

2.3.1.1 Initiation/Participation

The initiation of a *Corporate Actor*, although its use may be obvious, does not happen on its own. Setting up an organization is connected with initial costs and a lot of time and patience is needed to set up the necessary rules and regulations. In principle, the homogeneity of the individual actors supports their ability to organize, because the expectations of what can be gained from an organization are similar. A heterogeneous group is much more difficult to organize. However during this stage, the success of the organization is not guaranteed.

To motivate individual actors, selective incentives of a material or immaterial nature are necessary. A selective incentive could be any kind of bonus that is only granted to individual actors that actively contribute. Of utmost importance for the initiation of an organization is a leader that is described as a “political entrepreneur”. This person is assumed to take the lead in the initiation process due to additional intrinsic motivation (Preisendörfer 2005).

When an organization is already set up individual actors may think about entering an organization or not. The consideration whether to enter is based on the subjective assumption that benefits exceed costs of participation (Barnard, 1938 as cited in Preisendörfer, 2005). Both benefits and costs cannot always be clearly defined.

2.3.1.2 Decision/Disposition

With pooling resources the question of how to achieve joint disposition arises. Two different systems of deciding on disposition are possible: monocratic/hierarchical or cooperative/democratic. A monocratic/hierarchical system is present when a central coordinator decides on disposition and these decisions are binding for the other members. Cooperative/democratic structures are established when all individual actors that contribute their respective resources participate equally in the decision process. In reality, a mixture of the two decision structures prevails. In a monocratic/hierarchical system, the central coordinator cannot handle every detail that may have to be decided upon. Therefore he/she delegates tasks and thereby responsibilities to other actors (Preissendörfer, 2005). If an organization were strictly cooperative/democratic, decision processes would generally take a lot of time, energy and money. Assuming that every member has to be contacted and asked for their opinion on any decision, it is quite clear that this process would hinder the work of an organization. Therefore cooperative/democratic organizations normally delegate the daily business to representatives.

2.3.1.3 Distribution

Following the model of resource-pooling, the whole purpose of forming a *Corporate Actor* is to achieve mutual gain. How to distribute it back to the individual actors is therefore of the utmost importance. Depending on whether the structure of the organization is monocratic/hierarchical or cooperative/democratic, the distribution key differs. In a cooperative/democratic system, the individual actors theoretically receive equal shares of the mutual gain. A problem, however, is that normally not all of the members contribute at the same level. An equal share therefore may be perceived and as unfair and *Free-riding* may thereby be promoted. The phenomenon of *Free-riding* describes the passive behaviour of members, trusting in the others to take the lead. The problem usually correlates with the size of the organization - it increases with the number of members (Olson 1967, cited in Preisendörfer 2005). Another negative effect of such a distribution key may be a reduction in their contribution as a reaction by the more active members. In a monocratic/hierarchical organization, the mutual gain goes to the central coordinator. A part of the mutual gain is kept by the central coordinator (residual income) and the rest is distributed to the individual members (contract income). The individual shares of the mutual gain are fixed by the central coordinator. This kind of distribution key is usually found in companies. In fact balancing the distribution key to maintain motivation and satisfaction of all contributors is a very difficult task. This holds evenly true for both of the decision structures mentioned (Preisendörfer, 2005).

2.4 Assessment of an Existing Organization

After clarifying in the first place why an organization came into existence, an assessment of the existing organization will be carried out. A consistent scheme is provided by Scott (2003, as cited and modified by Preisendörfer), and will be utilized for the analysis of DWA and ACWUA. Scott (2003 p.18, as cited in Preisendörfer, 2005) highlights the environment as an “indispensable ingredient in the analysis of an organization”, and therefore the environments of the respective organizations will be depicted in the first place. As a second step, an analysis of the internal key elements (objectives, structure, relevant actors, and equipment) will be carried out to assess the fitness of the organization to its environment. The relation between internal structure and external environment will be examined with respect to an appropriate *Open System Theory* (see Section 2.5).

The key elements based on Scott (2003) are shown in Figure 2 below:

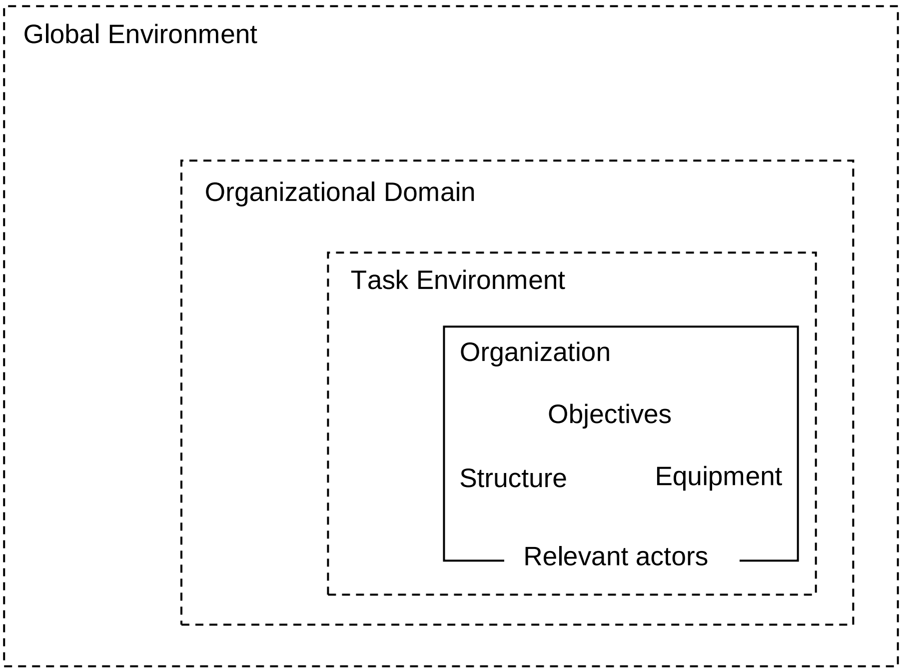


Figure 2: Key-Elements (Scott, 2003, modified by Preissendörfer, 2005 and the author, 2010)

2.4.1 Key-Elements

2.4.1.1 Environment

The description of the environment has to be seen as a complex task. A certain risk of losing the overview is inherent. Therefore a certain concretization of levels was introduced by scholars for orientation. These levels are (Preisendörfer, 2005):

- *Task Environment*
- *Organizational Domain*
- *Global Environment*

The *Task Environment* includes the actors the organization has a direct exchange-relation with. It is defined as the network of the organization, and relationships are therefore of direct nature. In the case of DWA and ACWUA the members and other specifically important actors may be defined as belonging to the task environment. The *Task Environment* will be assessed in detail in the “relevant actors” section, chapter 2.4.1.4 to avoid overlap. The *Organizational Domain* is the sector an organization works in. In the case of DWA and ACWUA it is the water and wastewater sector. The *Global Environment* includes the socioeconomic framework (the society) an organization has to work in. In the case of DWA the *Global Environment* is defined as being Germany and for ACWUA the Arab region. As well as the different levels, three different dimensions have been identified that are valid on any level (Preisendörfer, 2005):

- Munificence of the environment
- Dynamics of the environment
- Complexity of the environment

Munificence describes the availability of resources for the organization in the environment. It is clearly an advantage if the resources are available in great number, but it does not mean, that the organization has access to them. The dynamics of the environment simply describe that the higher the dynamics are the more difficult is it for an organization to work. The same applies to complexity.

2.4.1.2 Objectives

In theory, organizations are entities that are "goal-directed systems of human activity" (Alsrich, 1999 p. 2, as cited in Preissendörfer, 2005). To understand an organization it is essential to know its objectives. Objectives are necessary to (Preissendörfer, 2005):

- Motivate potential members to participate and indicate in which way the potential member is supposed to contribute to an organization.
- Control the progress and the success of an organization in achieving its objectives.
- Give advice and orientation for decisions of responsible actors to strategically lead an organization.
- Legitimate the flow of material and immaterial resources to the organization.

Information about the objectives can usually be taken from information brochures, portraits by the company or organization, bylaws, charters, and the homepage.

2.4.1.3 Structure

The formal structure of an organization has a normative character, because it determines how an organization should behave. As well as the formal structure an informal structure may occur, which is described as “factual order” by Scott (2003 p. 18, as cited in Preissendörfer, 2005). Formal structures can be identified by charters and bylaws, but informal structures are far more difficult to capture. Organizational science furthermore distinguishes organizational and operational structure. The first describes the different elements of an organization and the latter the interactions between these elements (Preissendörfer, 2005).

2.4.1.4 Relevant Actors

Determining the official members of an organization is comparatively simple, but to identify all relevant actors is neither theoretically nor practically an easy task. This sphere is defined in the assessment as covering the *Task Environment*. In various theories the question of where to set the boundaries is seen as one of the main problems for assessing organizations. Economists discuss this problem as a shareholder vs. stakeholder problem. However, according to e.g. Luhmann (2000, as cited in Preisendörfer, 2005) outer boundaries are necessary to define an organization. By setting boundaries an organization is able to act independently and conduct self-referential operations. Preisendörfer (2005) proposes that the situation can be clarified by answering the following questions:

- Who are relevant actors?
- What are their respective interests?
- What are their means of achieving these interests?

2.4.1.5 Equipment

The equipment of an organization is a clear indicator of the status and condition of an entity, whether it be machinery for production or the offices of a service-provider (Preisendörfer, 2005). Nowadays virtual equipment, like homepages and internet platforms, has to be considered as well. The state of a homepage according to how updated it is and the frequency of visits are seen as good indicators for the acceptance and activity of an organization. Interactive tools like exchange platforms and members' areas are tools of participation. DWA and ACWUA provide such an exchange platform to their members and their acceptance by members is seen as a good indicator for acceptance of the organization.

2.5 Organizations and their Relation to the Environment

The environment is an important influencing factor for organizations. Various *Open System Theories* describe this interaction. *Contingency Theory* has been rejected, because it describes the organizational structure according to the environment in a very general way. The nature of resources DWA and ACWUA depend on (i.e. expertise of their members), are seen as essentially the same. *Transaction Cost Theory* and *Resource Dependence Theory* highlight economic aspects and are therefore inappropriate for this study. The scope of *Network Theory* is too narrow for ACWUA and DWA, whereas the analytical scope of *Organizational Ecology* is too general. More *Open System Theories* of the sociological canon may be available, but will not be used for this specific case.

Neo-Institutionalism is appropriate, because it codifies the accepted rules of the environment as institutions that the organization has to comply with. Though organizations rely on acceptance by their environment, they have to follow these institutions. An adaptation process of the organization to its respective environment is seen as necessary to gain or preserve legitimacy. Without fitness to the environment, legitimacy is threatened and thereby the existence of the organization. This concept is beneficial when assessing the transfer of an organizational concept from one environment to another. The organization may have perfectly adapted to the original environment and therefore will struggle to adapt to a new one. The theory will be described in the following.

2.5.1 Neo-Institutionalism

2.5.1.1 Institutions

Neo-Institutionalism assesses the influence of relevant societal institutions on organizations. Relevance of these institutions derives from the fact that they are regarded as accepted social rules. By definition institutions are permanent (during the period of assessment), socially binding for the involved actors (in a sense that everybody sticks to them) and relevant according to their effects (i.e. they influence phenomena significantly) (Senge, 2006a). Figure 3 shows the differences of instructions for action. If one of these instructions for action is located on the very left side of all rows (that represent the three dimensions of institutions), it is called an institutions. If not, it is simply a rule.

	Institutions	**Normal rules**
factual		
	relevant rules	rules than are nearly unimportant
social		
	binding rules	rules that are nearly optional
temporal		
	permanent rules	rules that are nearly unique

Figure 3: Instructions for action (Senge, 2006b)

It is important to mention that institutions do not determine that actors reproduce identical action, but provide a variety of patterns of actions to choose. Institutions facilitate action, but imply certain restrictions by framing the variety of possibilities (Senge, 2006b).

According to Scott (2001, as cited in Senge, 2006b), institutions can be categorized by their respective function. All of them are seen as causal and action-regulating, but their influence develops by means of different mechanisms. Scott distinguishes among the following:

- Regulative institutions are based on clearly formulated rules and laws. Actors follow these institutions to prevent sanctions and/or to obtain reward.

- Normative institutions generate actions based on accepted moral rules and values. These moral rules and values express appropriate and accepted behaviour.

- Cognitive institutions are "shared conceptions that constitute the nature of social reality and the frames through which meaning is made" (Scott, 2001 p.57, as cited in Senge, 2006b).

However cognitive institutions are not seen as being on the same level as normative and regulative institutions as stressed by Senge (2006b). The author sees all institutions as being based on the perception of reality and cognitive institutions govern this perception.

2.5.1.2 Organizations

The basis for the development of *Neo-Institutionalism* was the observation of organization-wide structural homogeneity, when located in a comparable environment. The individual actor (e.g. the management) was not seen as the main shaping element of an organization, but rather the environment. The formal structures of organizations are not the reaction of individuals to a certain problem or demand, but are the result of processes of adaptation to institutionalized expectations of the surrounding environment. Therefore it is called an *Open System* concept, because organizations are not seen as autonomous entities but in permanent interaction with society (Mense-Petermann, 2006).

According to Mense-Petermann (2006) three different notions of organization in *Neo-Institutionalism* can be described:

- Organizations as an assembly-kit of institutions as single elements: Organizations develop their structure by choosing from a set of institutions provided (and accepted) by their wider environment. By following accepted structural frameworks they are recognized and rewarded for their adaptation to their wider environment. This reward is legitimacy (acceptance by the wider environment), provision of resources and thereby survival of the organization (Scott 1994, as cited in Mense-Petermann, 2005).

- Organizations as reification or personification of their institutional environment: The previously described "incorporation" of institutions into organization involves choice by an individual or a collective from a set of possibilities. According to the notion of organizations as the personification of institutions, these actors are personifications or reifications of institutions too. Therefore they do not choose from a set of elements provided by their environment, but are determined by the institutions themselves. Institutions are therefore not only seen as influencing the structure, "but [organizations are] also internally constituted by the wider environment" (Meyer, 1994 as cited in Mense-Petermann, 2005).

- Organizations as institutions: Organizations generate permanently formal structures that are accepted by the wider environment. Therefore organizations are seen as source of institutionalization rather than being influenced by institutions themselves (Zucker, 1988 as cited in Mense-Petermann).

All these different concepts describe the role of organizations in the light of their interaction with their wider environment. The idea of organizations as reification has to be seen as a more radical version of the notion of organizations as assembly-kits. In both cases organizations are

the dependent variable (and are getting influenced by their wider environment). Whereas organizations recognized as institutions represents the opposite idea. Organizations are the independent variable and influence the wider environment (Mense-Petermann, 2005).

2.5.1.3 Legitimacy

Legitimacy is important for the survival and success of any kind of organization in any environment. Legitimacy describes integrity, trust and acceptance by the wider environment. If legitimacy is lost, the organization is lost (Hellmann, 2006). Suchman (1995 p.574 as cited in Hellmann, 2006) proposes the following definition for legitimacy: "Legitimacy is a generalized perception or assumption that the actions of an entity are desirable, proper or appropriate within some socially constructed system of norms, values beliefs and definitions." This definition includes three elements of legitimacy: Attribution, actions by the entity and attributes of these actions like correctness, appropriateness and that they are desirable for the environment.

Organizations permanently strive for legitimacy. A result of this process is a structural adaptation towards their environment. This process is called *Isomorphism*. Within *Neo-Institutionalism* different scholars discussed whether this process of adaptation is necessary to be structurally implemented (DiMaggio and Powell, 1983 as cited in Hellmann, 2006) or just proclaimed (Meyer and Rowan, 1977 as cited in Hellmann, 2006). Suchman (1995, as cited in Hellmann, 2006) states that the necessary legitimacy relates to whether active or passive by support is desired the environment. If only acceptance (passive support) is desired, an organization only has to prove that its existence makes sense. When active support is desired, the organization has to be perceived as something that provides value for its members.

Three different kinds of legitimacy are summarized by Suchman (1995, as cited in Hellmann, 2006):

- Pragmatic legitimacy describes the strategic investment of an organization to enhance its legitimacy. The leading questions are about what has to be done and to be offered to make an organization be perceived as legitimate. Rationality and exchange-logics provide the grounds for this “exchange legitimacy” (Suchman, 1995 p.578, as cited in Hellmann, 2006). Strategic responses to the expectations of the wider environment may lead to “influence legitimacy” (Suchman, 1995 p.578, as cited in Hellmann, 2006). Exchanges are in this case not necessary, but what is important is to be responsive (e.g. to claim to be a “green” organization or company nowadays).

- Moral legitimacy is present when the organization fulfils certain moral requirement of its wider environment. These requirements include the valuation of the effects of action by the entity, the quality of the processes to conduct this action, the quality of structure of an entity, and the perception of executives and representatives.

- Cognitive legitimacy is perceived when an organization (and their respective actions) is recognized as comprehensive by the wider environment. The organization is then perceived as making sense, providing orientation and establishing order. In Suchman’s words (1995 p.578, as cited in Hellmann, 2006): “Legitimacy […] stems mainly from the availability of cultural models that furnish plausible explanations for the organization and its endeavours”. If an organization is based on cognitive legitimacy and their existence and actions are taken for granted (and therefore not discussed), alternatives are unthinkable and challenges become (theoretically) impossible.

Suchman (1995 as cited in Hellmann, 2006) also discusses how an organization could gain, maintain or repair its legitimacy and proposes several strategies of action. For gaining

legitimacy it is important to note that any innovation suffers from the problem of acceptance. Therefore any new organization has to handle the "liability of newness" (Suchman, 1995 p.589 as cited in Hellmann, 2006). Three strategies are available for gaining legitimacy: Conformity, selection and manipulation. Conformity describes the compliance of the organization with the expectations of the wider environment. Selection describes the strategy of choosing the most promising sector for an organization to be active and to gain maximum legitimacy. An organization has freedom of choice and therefore is able to decide on this to its own advantage. Manipulation is a strategy, which does not simply rely on fulfilling expectations of the wider environment, but rather tries to win the environment over by presenting "new explanations of social reality" (Suchman, 1995 p.591 as cited in Hellmann, 2006). But the strategy of manipulation is very risky, because "promulgating novel legitimacy claims is less a matter of management than of evangelism" (Suchman, 1995 p.591 as cited in Hellmann, 2006).

An accepted organization is not immune against the threat of losing its legitimacy. Moreover maintaining legitimacy involves handling certain challenges. The heterogeneity of the expectations by the wider environment are not always easy to fulfil, stability often involves a certain rigidity (responsiveness to changes is weakened), and institutionalization (of an accepted organization) generates its own opposition. Therefore, strategies to maintain legitimacy are aimed on the ability of an organization to perceive changes in the wider environment. The response to and inclusion of these changes both protect the legitimacy gained. Repairing legitimacy is necessary when relevant changes in the wider environment occur and the organization ignored or misjudged their influence. Strategies for this according to Suchman (1995 p.597 as cited in Hellmann, 2006) are "[…] normalizing accounts, restructure and don't panic".

2.6 Analytical Matrix

First the archetype of the organizational concept, the DWA, will be assessed, followed by an assessment of the new organization, the ACWUA. This sequence is necessary to follow up the process of transfer and to understand the differences between the two settings.

The process of founding will first be described in a first step by means of a historical review. The *Corporate Actor Theory* will be applied to abstract the initiation. Implications on the decision/disposition and distribution of mutual gain will be elaborated and the respective situation summarized.

In a second step the environment in which the associations are active will be described, followed by an analysis of the structural characteristics of both organizations. Concepts of *Neo-Institutionalism* will be applied in the conclusion of the second assessment step to clarify the compliance of the organizational structure with the respective environment.

Consequently the following assessment scheme will be followed for both of the organizations:

I. Description of the founding process and application of *Corporate Actor Theory* following the *Resource-Pool Model* to abstract initiation and to determine implications on participation and the related problem fields of decision/disposition und distribution.

II. Description of the environment and internal key elements of the organizations to trace compliance of the organization. Application of *Neo-Institutionalism* to clarify the situation of the organization.

3. Assessment of the Organizations

3.1 DWA as Archetype

3.1.1 Assessment Step I.

Assessment Step I. will describe the foundation process of the DWA by reviewing the history of the organization. Additionally the current status will be depicted. After the description a scheme deriving from the *Resource-Pool Model* following the *Corporate Actor Theory* based on the works of Vanberg (1982 as cited in Preisendörfer, 2005) will be applied to abstract and assess the problem fields of an emerging organization. These problem fields are: Initiation/Participation, Decision/Disposition and Distribution.

3.1.1.1 History and Current Status of DWA

The roots of DWA go back to the 19th century when industrialization in Germany was increasing rapidly. Several representatives of western German chambers of trade and industrial associations founded the first water management association to represent their interests as early as in 1903. Others followed for the agricultural sector. Two world wars crippled associational life but did not completely destroy the organized interests of the sector. New organizations were founded again, others merged.

In 1948, right after the 2nd World War, the wastewater association, “Abwassertechnische Vereinigung” (ATV), was founded to support reconstruction works. Leading figures in the foundation process were Dr. Max Prüß, a high-ranking governmental construction officer, Dr. Karl Imhoff, the renowned German scientist for wastewater treatment and the factory owner Dr. Wilhelm Passavant. The support of these people, the disastrous situation in post-war Germany and the absence of a similar entity gave momentum to the development of this new organization. Soon the ATV issued necessary standards, held conferences and meetings and

developed and conducted professional training programs for the municipalities in need of qualified labourers. Until 1999 around 13,800 members were registered at ATV.

Successors of water-management organizations fused in the 1970s and 1980s respectively and launched the German Association for Water Management and Agricultural Hydraulic Engineering ("Deutscher Verband für Wasserwirtschaft und Kulturbau", DVWK). In 2000 the ATV and DVWK merged and a broad field of the water sector was covered by one organization. In 2004 the name ATV-DVWK was changed to German Association for Watermanagement, Wastewater and Waste ("Deutsche Vereinigung für Wasserwirtschaft, Abwasser und Abfall", DWA) (DWA, 2005).

Nowadays DWA with about 14,000 members is the largest water sector organization in Germany and one of the largest in Europe. In this technical association, municipalities, universities, administration departments, engineering offices and companies work together on developing technical rules, standards and training courses on a voluntary basis. Achieving technically, economically and legally viable solutions for the planning, construction and operation of water, wastewater and waste assets is their common goal. Publishing updated technical rules and standards based on the contribution of expertise by the members and the provision of information and professional training are some of the services of this fully independent and self-financed association provides for the sector (DWA, 2007a).

3.1.1.2 Initiation/Participation

Though DWA is an organization deriving from many organizations, the initiation process of ATV will be assessed. The 13,800 members who were members in 1999 constitute the majority of the 14,000 members of DWA today.

The initiation of the ATV dates back to a situation where the demand for such an organization was clear. “Political entrepreneurs” necessary to set up a corporate actor were needed and found e.g. in Dr. Imhoff. Industrialists, government officials, practitioners and researchers joined to become involved and have their interests represented in the process of structuring the sector. Any individual had his/her own interests, but all of them were willing to contribute money and expertise to the newly founded organization. Following Vanberg’s model (1996, as cited in Preisendörfer, 2005), a *Corporate Actor* was initiated.

Being able to contribute expertise to the organization was only granted to the best or most influential actors. Being a member of a Working Group or a Technical Committee at ATV increased one’s reputation and provided a network that supported personal careers and influence by shaping the specific regulation developed in the committee. Selective incentives to motivate members for active contribution were not introduced, because they are inherent in the system. However merited members have been awarded from the beginning.

Professionals nowadays join for the same reasons as at the beginning of the organization. They want to influence rules, regulations and standards, develop a personal network for careers, find supporters for e.g. a research program or just benefit from the normal services provided by the DWA. Another striking incentive is the fact that private companies and potential customers are organized under the umbrella of DWA. In 2008 the main customers of the private water and wastewater industries in Germany were public and private water utilities with a portion of orders of approximately 30 % (Birrle, 2009). Since 1990 the utilities invested 100 billion € and mainly contracted German companies (ATT et al., 2005).

3.1.1.3 Disposition/Decision

The decision structure at DWA is of a cooperative/democratic nature. The General Assembly (GA) of the members decides on all relevant topics. Though their contribution, whether of material or immaterial contributions, forms the backbone of the organization, any other decision structure would be unthinkable. The GA only meets in a two year sequence and therefore day-to-day business is delegated, on the state level to the secretariats of the national sub-branches, and on the federal level to the headquarters in Hennef. The complexity of activities conducted by the DWA, demand such a professional management structure.

3.1.1.4 Distribution

Following the model of resource-pooling, the whole purpose of forming a *Corporate Actor* is to achieve mutual gain. How to distribute it to the individual actors is therefore of the utmost importance.

The self-regulation of the sector and the various services provided to members and society are the corporate gain developed by the organization. A non-active member only contributes membership fees and therefore gains access to the various services provided by DWA. The level of active contribution decides the influence on the organization and thereby the level of representation of interests or the level of reputation gained. The result is a self-regulating distribution key. The amount of corporative gain distributed back to the individual members consists of a basic bundle of services, extended by the additional advantages deriving from the individual level of active contribution.

3.1.1.5 Conclusion Assessment Step I.

The *Corporate Actor Theory* following Vanberg's *Resource-Pool Model* has been chosen as an appropriate concept to explain the emergence of DWA. The association was developed by the initiation of renowned actors in a situation of great need. This momentum attracted other actors of the sector to participate and contribute. Active contribution is high and is rewarded by an increase in professional reputation and a network that provides economic advantages and career possibilities to the individual actor, among other advantages. A selective incentive system and an adaptive distribution key for corporate gain are therefore seen as operational. Decision structures at the DWA are seen of a cooperative/democratic nature with daily business being delegated to professionals in executive committees and secretariats. Professional management of the association is therefore secured. The DWA remains attractive for individual actors to participate and contribute. Thereby the pool of expertise is renewing itself. The *Corporate Actor* is stable.

3.1.2 Assessment Step II.

The key elements of an organization are identified as the environment, objectives, structure, relevant actors, and equipment. Since Scott (2003 p.18, as cited in Preisendörfer, 2005) highlights the environment as an “indispensable ingredient in the analysis of an organization”, it will be depicted in the first place. The environment for DWA is defined as German society. As a second step, an analysis of the internal key elements (objectives, structure, relevant actors, and equipment) will be carried out to assess the fitness of DWA to its environment. In the conclusion the compliance of the organization with its environment and the resulting level of legitimacy will be discussed, based on the findings.

3.1.2.1 The Environment of DWA

Germany today is a pluralistic society. Pluralism as a concept describes the acceptance of different and moreover competing interests and political positions within a state. This diversity of interests manifest in the formation of diverse organizations of civil society, which include associations. This diversity is seen as legitimate, and moreover essential to sustain a free and modern society, as well as having the separation of powers, democracy, human rights, and the rule of law (Von Alemann, 1996). According to the theory of Pluralism, associations along with other civil society organizations, fulfil peoples’ sovereignty in the political system.

Four societal functions are seen as primary for the work of an association: aggregation, selection, articulation, and integration of interests in society. Secondary functions of associations are participation, thereby legitimation of the system and socio-economic self-regulation. The secondary functions are services provided by the associations for the whole society and not exclusively for their members (Straßner, 2006). Nowadays between 12000

and 14000 civil society organizations of various kinds are present in Germany (Deutsche Gesellschaft für Verbandsmanagement, DGVM, 2005). About 25 % of all Germans are a member of an association or workers' union, 60 % are registered in a club. Germany has to be seen as a traditionally highly decentralized, pluralistic society which tries to include all relevant actors and their interests in a consensus orientated way. However, the possibilities to influence politics differ for the various groups in society and there is a risk of powerful organized interests shaping politics the way they want to (Straßner, 2006).

Due to the undisputed importance of civil society organizations, all basic underlying rights are guaranteed by the German constitution ("Grundgesetz", GG, compare Ministry of Justice, 2010a) and partly by the European Convention on Human Rights (ECHR) (formally the Convention for the Protection of Human Rights and Fundamental Freedoms, compare Council of Europe, 1950). These rights are the freedom of action (GG, Art. 2.1), freedom of expression (GG, Art. 5.1 and ECHR, Art. 10) and freedom of assembly (GG, Art.8 and ECHR, Art. 11).

The importance of civil society organizations was accounted for by an article on freedom of association in the constitution. The legal term for these organizations is clubs ("Vereine") in German law. In article 9 (German Ministry of Justice, 2010a, p.3; translation A.W.) it is stated:

(1) All Germans have the right to form clubs and societies.

(2) All societies and clubs with objectives or activities that do not conform to German law, the German constitution or are against the idea of international understanding, are forbidden.

(3) The right to preserve and promote terms of employment and economy is assured for everybody and for all sectors. Any decision limiting or hindering this right is null and void, and actions aimed at doing so are forbidden. […]

Paragraph 1 distinguishes between normal clubs that are in general non-profit organizations, and societies, which include organizations with a commercial orientation. Paragraph 2 clarifies the limitations of this freedom by connecting it to German law. Paragraph 3 is of great importance for workers' unions, industrialists' associations and technical associations like the DWA. The right to "preserve and promote terms of employment and economy" shows the importance the constitution places on these organizations and their relative autonomy.

The importance of organizations of the field of employment and economy granted by the German constitution is reflected by the various ways they have influence on political life. Consequently the majority of organizations on the lobby-list of the German Parliament belong to that sector (compare German Ministry of Justice, 2010c). Since 1975 registration in this list has been compulsory for the official representatives of any organization to gain access to the building of the German Parliament (Bundestag, 2010). However, their expertise in their respective fields is welcomed by politics. Even smaller organizations may be heard when a legislative proposal is drafted that affects their specific field of interest.

In paragraph 47 of the "Gemeinsame Geschäftsordnung der Bundesministerien", which describes the common internal rules of procedures of the German federal ministries, the consultation of organizations during the formulation of new laws and regulations is regulated (German Ministry of Interior, 2009 p. 34; translation A.W.):

(1) When drafting a legislative proposal, the states, communal head associations and representatives of the states in the capital need to be informed as soon as possible, if their interests are affected. [...]

(2) The office of the Chancellor has to be informed. [...]

(3) For the timely advocation of head and umbrella associations and interested circles of experts on the federal level, paragraph 1 and 2 are valid accordingly. The point of time, choice and extent of advocation [...] is the responsibility of the respective ministry. [...]

Consulting and cooperation in the field of laws and regulations characterizes the connection of e.g. DWA to German politics. Currently many water sector related laws and regulations are being amended. The European Water Framework Directive needs to be implemented into national law. Additionally the directive on drinking water ("Trinkwasserrichtlinie") is currently in a process of amendment. According to the common regulations on internal procedures for German ministries, relevant actors of the field are being consulted. The DWA and other organizations have received the proposal of the draft and have given comments on it. At a public hearing the comments get discussed and worked in before the final draft is handed in to the parliament (Paetz, 2010).

Besides the influence on laws by the DWA, the influence on standards is seen as a powerful tool of self-regulation by the sector. The advantages for the sector and moreover the whole society are clear. The renowned Fraunhofer-Institute for System-technology and Innovation-research in Karlsruhe stated in 1998 that "technical norms contribute to cost reduction in environmental protection", and furthermore that "the savings in the construction and operation of plants outweigh the cost of creating and implementing norms" (DWA, 2010b).

Besides the economic relevance, standards have a legal dimension. Although they are not legally binding in a direct way, there are various connections. Standards may be incorporated in regulations by becoming an official norm, referred to for the technical specification of laws or to identify the acknowledged rules of technology. Therefore they reach far beyond the field of civil law into public and criminal law (DIN, 2010b).

Cooperation with the German Institute for Standardization ("Deutsches Institut für Normung e.V.", DIN), consequently forms another pillar of the work of DWA. Until the 1970s national standards were developed by different organizations. The predecessor of DWA, ATV, was very productive in this field. When a European standard system became apparent, the DIN (founded in 1917), was contracted by the German government in 1975 to bundle expertise and

to represent national interests on the European level. The other former standard issuing associations like ATV had to be included. Nowadays a cooperative working style prevails between the DIN and DWA. The DWA is represented in the highest positions of committees and advisory boards of their sector at DIN. Forming a working group and developing a standard is in general an open process, where everybody is allowed to apply to contribute. Though DWA has a general interest in any topic related to their sector, the association is seeded for the standardization process. Due to their institutionalized relation with DIN, DWA only needs to decide on the level of contribution (Paetz, 2010).

The proceedings on a European level at the European Committee for Standardization (Comité Européen de Normalisation, CEN) are similar. The economic relevance of standards for developing, delivering and manufacturing products and services was understood very early by the major European economies. Consequently these nations are most active in elaborating standards for the water sector on the European level. Other nations like the Scandinavian countries and The Netherlands contribute sometimes, while others, especially eastern European countries hardly even attend the meetings (Paetz, 2010). The important role of DWA is also reflected on the European level. The CEN TC 165, which is the European technical committee for standards on wastewater technology, since its beginning in 1989 has been chaired by an expert of DWA (or the predecessor ATV) (Kropf, 2010). Or as a high-ranking DIN official stated: “Significant input on the European level by DIN to the field of water management, wastewater and waste would have been impossible without the inclusion of DWA” (Paetz, 2010).

DWA even reaches on the international level according to standardization, because the international standards issued by the International Organization for Standardization (ISO) are often developed jointly with CEN and include parallel voting procedures. DIN sends representatives to CEN and ISO. According to the initiation of any technical standards, Germany is a leader in both of the organizations (DIN, 2010a).

Since standards do not necessarily represent the acknowledged rules of technology, nor the state of art of technology, additional regulations are published by DWA. Any contract in Germany has to follow the acknowledged rules of technology, when handling hazardous substances even the state of art, otherwise the company contracted may face a legal dispute. Therefore DWA issues working sheets, “Arbeitsblätter” that represent the acknowledged rules of technology and “Merkblätter” that display the state of the art to support professionals of the sector. Both publications are permanently updated by voluntary contributions of the members (Heidebrecht, 2010).

Concluding it can be said that the *Global Environment* of DWA, which is defined as the German society, is quite complex. However, this complexity includes in turn various possibilities for an organization like DWA, which is able to adapt to it. The global environment is not characterized by uncontrollable dynamics because several regulations are in place. The *Organizational Domain*, which is the water sector, has to be seen as self-regulated, whereas DWA functions as an umbrella organization of nearly all related fields. Whether the DWA is fully adapted to its *Task Environment* will be clarified in the following, by assessing the organization’s relevant actors and their interactions in chapter 3.1.2.4.

3.1.2.2 Objectives of DWA

Objectives do not only describe the scope of activities to the environment but also give an important orientation for the organization itself. They motivate members to participate, control progress and success, and give advice and orientation for decisions of responsible actors. Thereby they legitimate the flow of material and immaterial resources to the organization (Preisendörfer, 2005).

The main objective of DWA (2007a) is to advance water and waste-management and to bring together professionals of the sector. The tasks of DWA include:

- Representation of common technical, legal and economic interests of the water and waste sector
- Elaboration and updating of the DWA set of rules and regulations
- Vocational training
- Cooperation with city councils, municipalities, governmental agencies, and industries
- Organization of wastewater treatment plant, sewer, landfill site and water body partnerships
- Publication of technical journals
- Public relations
- Support of research and product development
- Knowledge transfer and international cooperation
- Consultancy for the field of politics, business and science

These objectives have characterized the organization since its beginning. Only the international orientation of its activities has been added officially since 2003 (Heidebrecht, 2010).

After assessing the Yearbook 2010 of DWA (2010a), which sums up the organization's activities in the previous year, all the mentioned objectives can be seen as fulfilled. DWA consulted politics and contributed actively to technical standards and regulations. About 94 publications have been published in 2009 (920 in total) and numerous training course have been held. Additionally two monthly journals were published. By bringing together experts of the field, they supported research and product development. Various services from courses to technical and legal hotlines have been provided for the members. International activities are

developing constantly. The number of members has been stable for years, which is seen as a reliable indicator of the high level of acceptance by the sector (DWA, 2010a).

3.1.2.3 Structure of DWA

The normative character of an organizational structure is described by Scott (2003, as cited in Preisendörfer, 2005). Structure is described as normative, because it determines organizational behaviour. In Figure 4 below, the structure of DWA is displayed (DWA, 2007a):

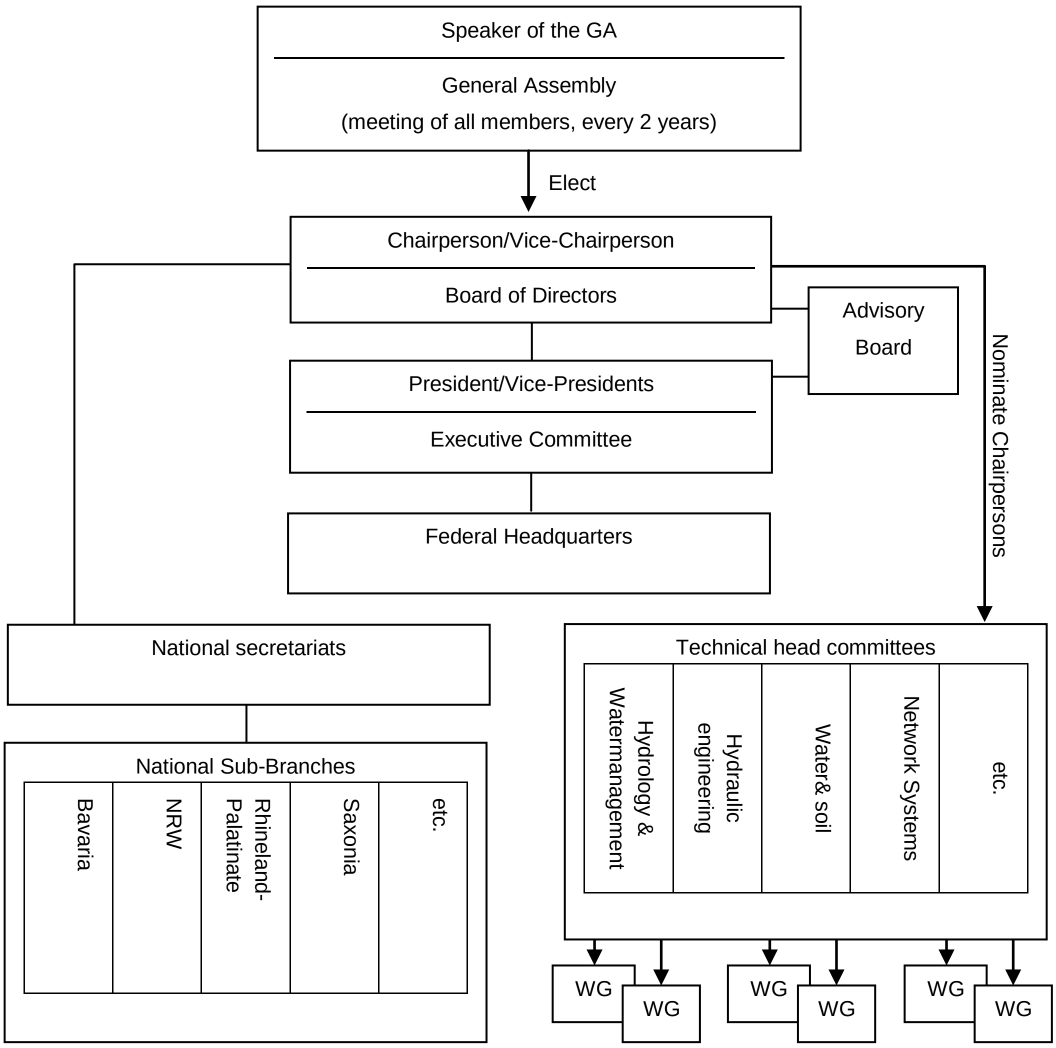


Figure 4: Structure of DWA

The main body of DWA is the General Assembly (GA) which meets at least every two years. Membership can be individual and corporate (companies, municipalities, institutes etc).

The members decide on the membership of the Executive Committee (“Präsidium”, EC) and the Board of Directors (“Vorstand”, BoD), and on financial, constitutional and structural issues. The BoD develops the long term strategy for the association, drafts all decisions which are decided upon in the GA, forms and dissolves national sub-branches and technical head committees. The BoD mainly consists of the Executive Committee, the chairpersons of all national sub branches and Technical Head Committees and elected personnel from industries, research centres and politics. The EC consists of the president, two assistant presidents and two other members elected by the GA. The EC manages the association according to the decisions of the BoD and the president represents the association. The Advisory Board counsels the EC and consists of experienced representatives of the association. The federal headquarters executes administrative activities and provides services to the members. The national secretariats do the same, but to a lesser extent and with less staff. Works on the DWA set of rules and regulations is carried out by the Technical Head Committees that develop specialized sub committees which are further divided into Working Groups (WGs). The members of these committees and WGs are volunteers (DWA, 2008).

Altogether it has to be stated that the organizational behaviour fully reflects the structure. All bodies are operational and carry out their tasks according to the bylaws. Approximately 1500 members (which is about 10% of the total number of members) contribute their expertise voluntarily to about 300 Technical Head Committees and Working Groups and form thereby the basis of the association (DWA, 2007a).

The financial plan is transparent even to non-members by downloading from the homepage. Table 1 displays the income sources of the association (DWA, 2009):

	IST 2007	PLAN 2008	PLAN 2009	PLAN 2010
Membership fees	2,653	2,700	2,600	2,600
Tuition fees	2,156	2,100	2,200	2,200
Publications	1,867	1,450	1,700	1,750
Donations	92	165	165	150
Interest income and others	2,028	1,807	2,025	2,140
Total Federal Headquarters	**8,796**	**8,222**	**8,690**	**8,840**
National Sub-branches	2,995	2,627	2,906	2,870
Section Hydrological Sciences	46	23	29	29
Total	**11,837**	**10,872**	**11,625**	**11,739**

Table 1: Income sources DWA, all values in 10^3 €

The majority of income is generated from membership fees or is directly or indirectly generated by the processed expertise of the members (publications, development of training programs). By adaptation of the GA, the financial plan becomes effective. Although about 120 (80 full-time) employees are working at the DWA, the association can be seen as characterized by a high level of ownership by its members.

3.1.2.4 Relevant Actors of DWA

The most relevant actors at DWA are defined as the members of the association. The organization is characterized by a high level of ownership and financial independence based on the members' contribution. The membership structure is displayed in Table 2 below (DWA, 2010a):

DWA (record date: 31 December 2009)	**No.**
Personal members	6,124
Utilities' technical personnel	1,277
Pensioners	496
Young members	544
Municipalities	2,043
Administrative district	124
Wastewater board	568
Governmental agencies	266
Engineering offices	1,496
Companies/Industrial associations	1,080
Total	14,018

Table 2: Membership structure DWA

The heterogeneity of members from all relevant fields (political, public, private, research, development and application) and levels (federal, national and local) represents the diversity of the sector. Parity in all committees is maintained by DWA.

Besides the field of water and gas supply, which is covered by another association, the German Association for Gas and Water ("Deutscher Verein des Gas- und Wasserfaches e.V.", DVGW), DWA covers the whole water sector. Associated sectors like waste and the interdisciplinary field of hydrological sciences are covered as well.

If not directly included as members, DWA cooperates or is otherwise linked (by e.g. cross-membership) with other relevant actors (e.g. DVGW and other smaller associations and organizations) of related fields in Germany.

Luhmann's (2000, as cited in Preisendörfer, 2005) definition of the outer boundaries of an organization includes all relevant actors. Following his definition it may be stated that the outer boundaries of the DWA are congruent with the boundaries of the sector. The self-portrayal of DWA as sector organization can be regarded as valid. A stakeholder vs. shareholder problem can thereby not be identified, because if not directly included in the DWA as member, stakeholders are included by cooperation of various kinds. All interests of the heterogeneous sector seem to be represented in the DWA. The organization can be regarded as being in full compliance with its *Task Environment*.

3.1.2.5 Equipment of DWA

The equipment of an association, whether it is the office or the homepage with its members' area, serves as a reliable indicator of determining the status and condition of the organization (Preisendörfer, 2005). Therefore, the headquarters and homepage of DWA will be assessed in the following chapter.

The federal headquarters of DWA in Hennef (visited on 18th August 2010) appears functional and well equipped. An extension of the building is planned and construction works will be finalized by the end of 2011 (DWA, 2010a). About 100 employees currently work there. Furthermore, 7 national offices with between 2 and 9 employees (in total about 20) are operated by the national sub-branches of the association (Heidebrecht, 2010).

The homepage (www.dwa.de) was visited on the 19th September 2010 and provides all necessary information and numerous downloads are available. A reduced version of the homepage is available in English. The members' area (available since 1996), accessible by personal password on the homepage, is updated and is used by members to download and exchange information.

The equipment, whether real estate or virtual, gives the impression of a well managed organization. The members' area is accepted and used by the members of DWA and reflects the high level of participation.

3.1.2.6 Conclusion of Assessment Step II.

DWA fulfils an important function in the pluralistic German society. It aggregates, selects, articulates and integrates the interests of the sector it is representing in society. The integration of these interests is carried out by consulting and thereby influencing the political level when a law is drafted and by issuing standards and technical regulations. This influence is seen as being in full compliance with the regulative institutions of the *Global Environment* of the association. Participation on the political level and self-regulation of the sector by standardization leads to appropriate laws and regulations. Thereby money is saved for the sector and society. Moreover, socio-economic self-regulation legitimizes the political system.

The organization behaves appropriately according to accepted societal rules, by fulfilling the desired role in society. Compliance with normative institutions, which describe the appropriate and accepted behaviour of the organization in its *Global Environment*, is therefore seen as given accordingly.

DWA fully adapted to its environment. It may even be stated that the association is a reification of its environment as defined by Meyer (1995, as cited in Mense-Petermann 2006). It does not only comply with existing institutions, it may even be seen as internally constituted by them. The heterogeneous members' structure and the various cooperation mechanisms of DWA with other relevant actors mirror the pluralistic German society and underpin its acceptance by its *Organizational Domain*, the water sector. A stable number of members indicates perfect adaptation to the organization's task environment.

Another indicator of the perfect adaptation of DWA is the structural homogeneity with DVGW. Both organizations are working in the same environment and are organized in the same way. Moreover, they behave nearly identically.

Consequently the organization is not striving for legitimacy, but is fully accepted. A stable and even slightly growing number of members can be seen as proof. DWA's legitimacy may be seen as being based on exchange logics (Suchman, 1995 as cited in Hellmann, 2006) because the organization provides the previously mentioned services to the water sector and to society as a whole. Even moral legitimacy, which is described by Suchman (1995 as cited in Hellmann, 2006) as a valuation of an organization's actions, their effects on society and the respective way it conducts them, is seen as given. Since DWA is providing orientation and is establishing order, legitimacy has also a cognitive dimension (compare Suchman, 1995 as cited in Hellmann, 2006). Consequently no alternatives to DWA are currently thinkable, and competition does not exist. Responsiveness to changes in the environment that may threaten legitimacy (Suchman 1995, as cited in Hellmann, 2006) is possible due to the structural characteristics (WGs, democratic structure, cooperation with other organizations etc.) of the organization. This openness to the sector's demands facilitates a permanent renewal of contents, services and thereby legitimacy.

3.2 ACWUA

3.2.1 Assessment Step I.

Assessment step I. will describe the foundation process of the ACWUA by reviewing the history of the organization. Additionally the current status will be outlined. After the description a scheme derived from the *Resource-Pool Model* following the *Corporate Actor Theory* based on the works of Vanberg (1982 as cited in Preisendörfer, 2005) will be applied to abstract and assess the problem fields of an emerging organization. The ACWUA is in general not seen as an association, because it was founded by a third party. Nevertheless the expectations of ACWUA's behaviour are linked to that associational concept; the theory will therefore be applied as if the organization were an association. These problem fields defined by Vanberg (1982, as cited in Preisendörfer, 2005) and assessed in the following are: Initiation/Participation, Decision/Disposition and Distribution.

3.2.1.1 History and Current Status of ACWUA

A meeting in 2005 at the headquarters of DWA in Hennef, Germany, attended by representatives of GTZ, ESCWA and the European Water Association (EWA) marked the starting point of the organization as a project (Heidebrecht, 2010). As a working title Arab Water Utilities Network (AWUN) was chosen. During the following months GTZ-ESCWA missions visited most ESCWA member countries[1] and discussed the project idea with governments and utilities. At a consultative meeting in Beirut in 2006, attended by high-ranking staff of public and private water utilities from the ESCWA member countries welcomed the idea of AWUN. Due to the positive reactions, ESCWA decided to join efforts with GTZ to launch the project (GTZ/ESCWA, 2006a).

[1] Bahrain, Egypt, Iraq, Jordan, Kuweit, Lebanon, Oman, Palestine, Qatar, Saudi Arabia, Sudan, Syria, UAE, Yemen

In the same year a 3-day meeting was organized in Cairo. Participants from 10 ESCWA countries decided to include all Arab countries. To emphasize the organizational set-up as an association, the AWUN was renamed Arab Water Utilities Association, AWUA and later Arab Countries Water Utilities Association, ACWUA. A Steering committee (SC), consisting of 11 representatives from the ESCWA-countries, was founded and Mr. Bassam Jaber (Program Director, Lebanese Water Policy Program) was elected as coordinator (ESCWA/GTZ, 2006b). On the last day the meeting endorsed the establishment of ACWUA and adopted the "Cairo Statement", which declared full support for forming an association. ESCWA and GTZ agreed to offer "appropriate guidance and assistance to the Steering Committee in the initial formation and founding of ACWUA, and subsequently to ACWUA itself for a period, to allow ACWUA an opportunity to become effective and self-sustaining" (ESCWA/GTZ, 2006c p.1).

DWA, on board as consulting organization for GTZ in the ACWUA project, organized the next meeting of the Steering Committee (SC) for further organizational refinements in December 2006 (DWA, 2006). A third SC-meeting followed in Bahrain in January 2007, where Dr. Faraj El-Awar, (Consultant, GTZ-Lebanon) was approved as acting (intermediate) Secretary General until a long-term solution was found. Awaiting resources to be identified for financing this post sustainably, GTZ agreed on funding for the present. The still lacking membership fee system for ACWUA was agreed on being drafted by a consultant (ESCWA/GTZ, 2007).

On 23th - 24th of April 2007 the ACWUA foundation meeting was held by GTZ and ESCWA in Abu Dhabi. The SC and the drafted ACWUA bylaw, charter and the membership fees system were introduced to the participants. In a special session the ACWUA was officially founded and the first membership applications received (membership fees have been waived for the first year). After the inauguration of the association, working groups (WGs) were founded on topics proposed by the participants, they include: Capacity Development and

Training, Benchmarking, Public Private Partnerships, Water Resources Management, Poverty Orientation, Wastewater Reuse, Utility Management (O&M). For each of the working groups, a chair person was named, following the DWA example. The SC was renamed as Foundation Committee (FC) and should lead the Association and finalize the constitution during the interim period until the first ACWUA Annual Meeting (ESCWA/GTZ/ACWUA, 2007a).

A 2nd FC meeting organized by GTZ and ESCWA was held at the Dead Sea in Jordan in November 2007. The bylaws, charter and membership fees system were finalized and were to be voted on by the FC electronically, due to the absence of three members of the committee. The chairmen of three WGs, Benchmarking, Capacity Development and Private Sector Partnerships, introduced possible scopes of work. The meeting of the FC was at the same time the 1st Best Practice Conference[2] on Standard Operation and Maintenance Procedures (ESCWA/GTZ/ACWUA, 2007b, compare Heidebrecht & Knitschky, 2007).

The 3rd FC meeting was held at IFAT (a trade fair) in Munich in May 2008. Abu Dhabi and Jordan offered to host the ACWUA secretariat and Abu Dhabi's offer was accepted. A new secretary General (SG), Mr. Khaldon Khashman (Secretary General, Ministry of Water and Irrigation, Jordan) was elected. Two of three (former seven) existing WGs provided a presentation on their progress, namely the WG Public Private Partnerships, chaired by Mr. Khaldon Khashman (the new SG of ACWUA) and the WG Benchmarking chaired by Mr. Mohammed Al-Ramahi (Network Service Director, Abu Dhabi Distribution Company/Abu Dhabi Water and Electricity Agency). The chair in the third group on Capacity Building changed to Mrs. Nadia Abdou (Chairperson of Alexandria Water Company). Dr. Hosny Khordagui (Leader of the Water and Environment Team, ESCWA) formulated his concerns about the establishment and operation of the working groups. He strongly recommended

[2] Best practice conferences are events by ACWUA, which aim to bring together water experts from the region to exchange expertise on a specific topic. The outcome should be an overview of common practices with the possibility to chose from among them and apply the best one.

preparing terms of references (TOR) for the WGs until the 1st General Assembly (GA) of ACWUA (ESCWA/GTZ/ACWUA, 2008).

On the 18th of November 2008 the 2nd Best Practise Conference on Capacity Building was staged by ACWUA and supported by GTZ and ESCWA in Alexandria. On the afternoon of the next day the 1st GA was held in Alexandria. The number of registered members had risen in the meantime to 350 individual and 35 utility members from 8 countries, of which about 150 were present. After the opening speeches, Dr. Khordaghi (Leader Water and Environment Team, ESCWA) declared that ACWUA was initiated by ESCWA and GTZ as a joint project and that the responsibility for the organization will be from now on in the hands of the GA and the Board of Directors (BoD) to be elected on that day. The work of the FC was reported and the budget for 2009/2010 ratified. Discussions on annual and long term planning followed. Acting SG Mr. Kashman iterated the achievements of the Working Groups and stressed that “we did a lot, but it’s not yet sufficient”. Afterwards the election for the BoD was held. Representatives of all member countries and one representative for the individual members were elected. The election of the additional BoD members, namely representatives of International Organizations, NGOs and private companies was postponed on the suggestion of the SG. Voting for who would host the ACWUA secretariat brought unanimous affirmation for Amman after the renewed offer by Jordan and withdrawal of Abu Dhabi. Meetings of the WG on Water Reuse (a new group) and Capacity Building and the first meeting of the BoD were announced for the next day (ACWUA, 2008a). The WG on Water Reuse was moderated by a consultant, Mrs. Silke Rothenberger (GTZ Jordan), and along with its 11 members a working plan and the publication of case-studies were prepared. The other group on Capacity Building was led by Mr. Roland Knitschky (DWA/ German Development Service, DED) and it developed the first steps of a working plan. The 1st meeting of the BoD elected their chair (Mrs. Nadia Abdou), treasurer, and speaker and refined the business plan. The meeting was actively supported by Rüdiger Heidebrecht (DWA) (Knitschky, 2008).

Since July 2009, the permanent secretariat has been established in Amman, Jordan. The set-up of the secretariat (furniture, computers and rent) was supported by the Jordanian Government (Kashman, 2010a). Labour costs are partly financed by the Centre of International Migration and Development (Centrum für Internationale Migration und Entwicklung, CIM) and GTZ contributes a fixed amount to the secretariat's budget. The remaining budget for the operation of the secretariat is covered by membership fees (Honore, 2010).

In January 2010 the 3rd Best Practice Conference on Non-Revenue Water was staged in Rabat, Morocco. It was jointly organized by various donors and ACWUA. Support came from DWA, GTZ, IWA, and USAID (ACWUA, 2010e). A BoD meeting took part (Nasereddin, 2010) and the WG on Capacity Building met again (last meeting was in Alexandria in 2008) at the conference. An agreement of support by Capacity Building International – Germany (Internationale Weiterbildung und Entwicklung gGmbH, InWEnt) to ACWUA was signed (ACWUA, 2010b).

The 1st Regional Training Course was staged by ACWUA and InWEnt in Alexandria in July 2010. The course topic was "Key Performance Indicators and Benchmarking". The 2nd Regional Training Course "Effective Leading and Communication in Managing Water Utilities in the MENA/Arab Region" took place in November in Amman (ACWUA, 2010c). Further courses will be staged by InWEnt in the framework of their regional program "Strengthening the MENA water sector through networking and training", namely on "Negotiation and cross-sectoral coordination for good water governance" and "Enhancing business performance through quality management and standards". The project with ACWUA (consisting of the four regional courses plus 4 Training of Trainers) will phase-out by the end of 2012. Continuation has not yet been decided upon and it remains unclear whether by the end of the period of support ACWUA will be able to carry out own training measures. The

regional courses are all fully financed (for participants from GTZ partner countries[3]) and members of ACWUA are preferred participants (Notz, 2010).

The 1st Arab Water Week was staged on the 5th – 9th December 2010 in Amman. It is the first event that is completely organized by ACWUA (Heidebrecht, 2010). At the conference a Matchmaking Workshop for Water Utilities' Partnerships was held by the Global Water Operators Alliance (GWOPA) and InWEnt staged a workshop for high level management on benchmarking. Twelve sessions with half of the speakers belonging to the private sector were held. The other half of the speeches were given by international organizations, research institutes and some utilities. ACWUA signed in a separate session Memorandums of Understanding (MoU) with the Stockholm International Water Institute (SIWI), International Union for the Conservation of Nature (IUCN), Arab German Chamber of Industry and Commerce (GHORFA), German Water Partnership (GWP) Berlinwasser International and München Messe (Munich Trade Fair, IFAT). The MoU with IUCN targets closer cooperation in the field of Integrated Water Resources Management (IWRM) and the SIWI may support ACWUAs Working Groups, besides cross-promotion of the Arab Water Week and Stockholm Water Week (which is staged by SIWI). The other MoUs have a mainly commercial background. An agreement with Swedish International Development Agency was signed to support the Working Groups on "Management of Utilities" and "Utility Reform" financially (Kashman, 2010b).

The 2nd General Assembly took part in the afternoon of the third day of the conference and was opened by a speech of the General Secretary of ACWUA. He presented ACWUA's achievement during the last two years and announced a grant by the European Union to carry out 34 training courses until 2020 (Kashman, 2010b). It was decided in a spontaneous voting procedure to accept the opening speech as replacement of a written report. All following voting procedures had a very informal character, because the number of participants was not

[3] Algeria, Egypt, Jordan, Lebanon, Morocco, Palestine, Syria, Yemen

counted. No rival candidates have been nominated for any post and the General Secretary simply announced the country representatives to be members of the BoD. A change in the charter was accepted concerning additional BoD membership for donors. No information on the schedule and proceedings of the 2nd GA were provided to the delegates in advance.

3.2.1.2 Initiation/Participation

In the case of ACWUA the general problems of setting up an organization (initiation) were bypassed. The association was set up by a third party, namely the founding partners ESCWA and GTZ. These organizations bore the initial costs, invested time and convinced potential members to participate. Structural work on the organization such as like bylaws, charter and the membership-fees system was mainly facilitated by DWA.

The necessary meetings were all financed by the funding partners. A "political entrepreneur" was found in Mr. Khaldoun Kashman. The ACWUA came into existence. Obstacles to enter the organization were lowered by exempting the new members from the membership fees for the first year of the organization in 2006. The ACWUA secretariat with currently eight employees was set up with support by the Jordanian government. Employees' salaries are supported by the GTZ and CIM. Although the initial members stated their general interest in having such an organization, the ACWUA has to be regarded as a clearly donor-driven concept and not as an organization that was built fir the specific interests of the sector.

According to the problem-field of participation, indications are very clear. A distinction needs to be made between real participation, which involves the contribution of resources, and pro-forma participation, which is passive membership. Although pro-forma participation is quite high, participatory elements like the WGs, which are indicators of real participation, are suffering from a low level of contribution. A system of selective incentives for more active members has not yet been developed and has resulted in minor contribution to the admittedly

new concept of WGs. It is assumed that without the continuous support of donors, no WG would have met at all. However, the individual advantages for contribution are seen as minor, though the ACWUA got no reputation at present. Furthermore a useful personal career network is not going to develop for active members contributing in the WGs, because the regional mobility of employees is in doubt.

3.2.1.3 Disposition/Decision

When pooling resources, the question of how to achieve joint disposition arises. Decisions on the disposition of resources are organized in a cooperative/democratic way at ACWUA following the DWA example. The GA, where all members have one vote, is formally the highest body of the organization and decides on the disposition. A representative, namely the General Secretariat with the SG, takes care of the daily business.

But yet another question arises about the role of the GA. Though all activities of ACWUA are currently related to donors (training courses and workshops) or to the General Secretariat (1^{st} Arab Water Week) a common pool of resources cannot be identified to be decided on by the members.

This paradoxical situation reflects the initiation and participation problem of ACWUA. An informal structure therefore seems to have been developed naturally. This informal structure has monocratic/hierarchical tendencies, with the BoD and the GS on top. This situation seems to be primarily related to the passivity of the members. The observed informal voting procedures at the 2^{nd} General Assembly do not indicate a strong sense for democratic decision procedures.

3.2.1.4 Distribution

Following the *Resource-Pool Model*, the whole purpose of forming a *Corporate Actor* is to achieve mutual gain. How to distribute it to the individual actors is therefore of the utmost importance (Preissendörfer, 2005). In the case of ACWUA, all members receive equal shares of the services mainly provided by donors and partly by the organization itself. In the specific situation it means that all representatives of utility members are invited to join the regional workshops and conferences which are developed without the members' input. Though everybody is treated equally, this distribution key could be seen as signalling to the members, that contributing is not necessary. The result could be fatal for the concept of an association.

3.2.1.5 Conclusion of Assessment Step I.

The ACWUA was successfully founded in a very short period of time with the massive support of donors and international organizations. These organizations bore all costs and made all the necessary efforts. The problem of initiating an organization was thereby bypassed and all members signalled interest in participating. But participation in the association appeared unconditional. The effect is the widespread passivity of the members. Participatory elements like the WGs are seen as not operational. The pool of resources has stayed empty.

Again the donors intervened and filled the gap by financing and executing events under the label of ACWUA. Access to these services was granted again unconditionally to all members. Momentum for active participation was therefore not achieved.

The passivity of members is seen as the main cause of a change according to the basic decision structure. The power of decision-making is seen as moving from the members to the more active General Secretary with the GS on top and the BoD. The cooperative/democratic structure develops monocratic/hierarchical tendencies.

Bypassing the initiation problem appeared as assisting the foundation of an association. But in fact it laid the foundations for a different kind of organization. The ACWUA is not seen as representing the interests of its members, because otherwise they would contribute. However, the organization may be seen as representing the interests of the founding partners. Consequently they are the only ones that contribute significant resources to the *Corporate Actor*. The ACWUA is therefore seen as lacking distinctive features of an association. A commercialization of ACWUA seems to develop by strengthening ties with the private sector.

3.2.2 Assessment Step II.

The key elements of an organization are identified as environment, objectives, structure, relevant actors and equipment. Though Scott (2003 p.18, as cited in Preisendörfer, 2005) highlights the environment as an "indispensable ingredient in the analysis of an organizations", it will be examined in the first place. The environment for ACWUA is defined as the Arab region. As a second step, an analysis of the internal key elements (objectives, structure, relevant actors, and equipment) will be carried out to assess the fitness of ACWUA to its environment. In the conclusion the compliance of the organization with its environment and the resulting level of legitimacy will be discussed, based on the findings.

3.2.2.1 The Environment of ACWUA

The ACWUA is an organization that represents the Arab region. As a regional organization, which focuses on the technical water sector, the ACWUA is not seen as being excluded from the overall political situation and the Arab countries in general are not characterized by a high level of pluralism. The Arab Human Development Report states that "civil society faces the same problems as the political community vis-á-vis the authorities who seek to control civil organizations, directly or indirectly, by using a dual strategy of containment and repression". The report further states that "in Arab legislation, the fine balance between freedom and security/order is clearly weighted in the latter's favour" (UNDP, 2004 p. 153). Though the ACWUA is not active on the national level, these influences may be seen as minor. But it is assumed that security-focused states may not be too anxious to share positive or negative experiences of a mainly governmental service like water and sanitation services. Political implications are seen as unavoidable for the targeted experience exchange on the regional level, therefore a wider perspective is necessary to assess ACWUA. Consequently the level of

general regional cooperation in the Arab world will be examined in the following to characterize the *Global Environment* of ACWUA.

Cooperation is described by different scholars as emphasizing security issues or economic integration (Lawson, 2008). The most prominent regional organization in the Arab world concerning all levels of cooperation, the League of Arab States was founded as early as 1945. The League intended to promote close cooperation in economic, infrastructural, cultural, welfare and health matters according to Article 2 of the Pact of the Arab League of States (PALS) (UN, 1950). The duty of the Council to intervene in any regional dispute is seen by Pinfari (2008) as included in Article 5 of the pact of the Arab League of States: "The Council shall mediate in all differences which threaten to lead to war between two member states or a member state and a third state" (UN, 1950 p 254). However the ability to mitigate conflicts is seen as low by many researchers (e.g. Zacher, 1979, Awad, 1994, as cited in Pinfari, 2008) and the League is perceived as little more than a "forum of collective legitimation" (Barnett and Solingen 2007, p.197, as cited in Pinfari, 2008) for Arab states. As soon as major state interests were involved, the League had little or no power (Solingen, 2008).

A reform of the League was started in 2001 by the sixth General Secretary and former foreign minister of Egypt, Amr Musa, but did not lead to significant changes according to Samoleit and Mattes (2008). The authors state that former common aims have now been widely replaced by differences among the members. The Arab states are seen as starting to orientate themselves politically and economically outside the region.

Other scholars like Aarts (1999) emphasize the emergence of sub-regionalist organizations like the Gulf Cooperation Council (GCC), The Arab Maghreb Union (AMU) and the already vanished Arab Cooperation Council (ACC) as indicators of the end of regionalism in the Arab World. He concluded that in "the foreseeable future, the dominant strategy will be bilateralism, not regionalism or multilateralism" (Aarts, 1999, p 921).

Geopolitical changes are seen by Samoleit and Mattes (2008) as the reasons that broke the homogeneity in the Arab region. Different external orientation and divergent interests are seen as leading to conflicts which hinder joint action and cooperation. Bank and Valbørn (2009) identified new fracture lines in the Middle East by summarizing different views of current publications. The region is seen as divided in states with a moderate or radical order related to market and democracy. Furthermore, confessional fracture lines between Sunni and Shia‘a on the state and non-state level and the formation of new alliances to buffer the growing influence of Iran, are seen as threatening Arab unity. The Economist (2009) also highlights that “at least four non-Arab powers - America, Israel, Iran and to a much lesser degree Turkey - play an active part both in shaping relations between the Arab states and influencing their internal politics”.

The level of economic integration is seen by Çarkoğlu et al. (1998) as very low. They state in their empirical study that “the Middle East remains a peculiar exception to the overall trend of regionalism. Among various regions, the Middle East is not only the least integrated into the world economy but is also characterised by the lowest degree of regional economic cooperation” (Çarkoğlu, Eder, and Kirişci, 1998 p 31). Cammett (1999, as cited in Lawson, 2008) sees regional economic blocs emerging and consolidating at the Gulf and in the Maghreb region. Abedini and Péridy (2007) detected an increase in inter-Arab trade since the establishment of the Greater Arab Free Trade Area (GAFTA) in 1997 of about 20%. The increase is mostly seen as deriving from the general positive economic development and the authors therefore strongly recommend deepening and widening the agreement.

The Arab world is not only characterized by its political dynamics, but has to be seen additionally as highly heterogeneous in terms of the welfare of its states. The economic situation of the different can be assumed to shape the situations of the water sectors and their ability to improve. Therefore, the situation of the countries should be illustrated. Figure 5 below shows the Gross Domestic Product (GDP) of the various countries:

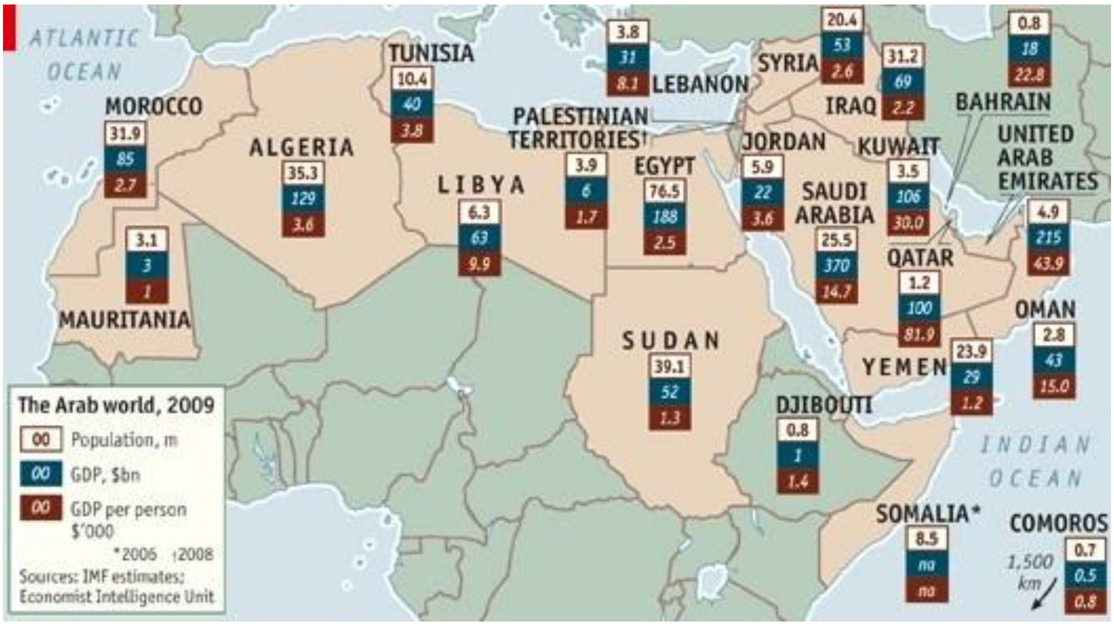


Figure 5: GDP in the Arab Region (The Economist, 2009)

The significant differences in the economic situations reflect the overall situation of the water sector in the respective countries. When clustering in 3 groups, low GDP (up to 2,000$/person), medium GDP (up to 10,000$/person) and high GDP (above 15,000$/person) the correlation between GDP and the countries' overall water supply and sanitation situation becomes clear in Table 3:

Country	**GDP/person [*1,000$]**	**water supply coverage [%]**	**sanitation coverage [%]**
Low GDP			
Somalia	0.6[1]	30	23
Comoros	0.8	95	36
Mauritania	1	49	26
Yemen	1.2	62	52
Sudan	1.3	57	34
Djibouti	1.4	92	56
Palestinian Territories	1.7	91	89
Middle GDP			
Iraq	2.2	79	73
Egypt	2.5	99	100
Syria	2.6	89	96
Morocco	2.7	81	69
Algeria	3.6	83	95
Jordan	3.6	96	98
Tunisia	3.8	94	85
Lebanon	8.1	100	98 (2005)
Libya	9.9	54 (2000)	97
High GDP			
Saudi Arabia	14.7	90 (1995)	100
Oman	15	88	87 (2000)
Kuwait	30	99	100
UAE	43.9	100	97
Qatar	81.9	100	100
Bahrain	228	100	100

Table 3: GDP and WSS Arab world, all GDP data from 2009 or otherwise indicated (The Economist, 2009), [1] est. data 2009 (CIA, 2010), water supply and wastewater coverage data from 2008 or otherwise indicated (UN, 2010)

Iraq and the Palestinian Territories are in a special situation. These two countries are currently experiencing political instability, occupation and internal strife and face uncertain prospects. As a direct result of the conflict the infrastructure has deteriorated. Lebanon and Jordan have the highest level of urbanization among the middle GDP group and rate high according to coverage, while Oman and Saudi Arabia are the less urbanized states in the Gulf area and the coverage is below 100% (ESCWA, 2009).

The resource situation across the region differs widely. The various countries supply their people with water from different sources and therefore the technology applied is assumed to vary accordingly. The Total Actual Renewable Water Resources (TARWR) was chosen because it is a common reference tool and the data are collected by the renowned Food and Agriculture Organization of the United Nations (FAO). The TARWR shows the total resources theoretically available within a country. All incoming and outgoing waters (precipitation, groundwater- and surface water-flows) are calculated. It has to be noted that the water that sustains ecosystems or is utilized in rain-fed agriculture is not identified. Non-renewable groundwater (fossil water), desalinated water and wastewater reuse are not included too. Furthermore, it has to be noted that not all of the water theoretically available can be utilized (e.g. run-off during extreme weather events). In the following chart, the clustering according to GDP is retained to show the ability of the respective countries to improve the situation by investment in measures like utilizing non-conventional resources (wastewater reuse, desalination etc.), water demand management, or the development of currently unused or underutilized resources (incl. fossil water).

Table 4 shows the TARWR and precipitation data of the Arab countries:

Country	Precipitation Rate [mm/yr]	TARWR/person [m³/yr]	Total Use TARWR [%]
Low GDP			
Somalia	300	1,538	23
Comoros	1,800	1,700	n.a.
Mauritania	100	4,278	15
Yemen	200	223	162
Sudan	400	2,074	58
Djibouti	200	475	3
Palestinian Territories*	300	52	n.a.
Middle GDP			
Iraq	200	3,287	57
Egypt	100	859	118
Syria	300	1,622	76
Morocco	300	971	44
Algeria	100	478	42
Jordan	100	179	115
Tunisia	300	482	60
Lebanon	700	1,261	31
Libya	100	113	802
High GDP			
Saudi Arabia	100	118	722
Oman	100	388	137
Kuwait	100	10	2,227
UAE	100	58	1,538
Qatar	100	94	554
Bahrain	100	181	258

Table 4: TARWR Arab world, all data taken from UNESCO (2006), *without West Bank

Among the low GDP group, Yemen is in the most severe resource situation. With a population growth rate of currently 2.9 % and a high dependence on agricultural products, the situation is about to worsen. For Palestine the specific situation of occupation is limiting access and development of theoretically available resources (ESCWA, 2007). However the

theoretical water availability situation may look like, the whole low GDP group is seen as threatened by their limited economic abilities.

In the middle GDP group, Syria and Egypt have a high potential to save water in agriculture and Jordan is increasingly utilizing non-conventional resources (wastewater reuse, desalination and fossil water). The Gulf countries and Libya buffer their deficit by desalination, fossil groundwater and partly wastewater reuse. Although the resource availability and the financial abilities differ widely, overexploitation and deterioration of renewable and non-renewable groundwater and pollution of surface waters are to a different extent threatening the situation among all states. Population growth and economic development are widening the gap between demand and supply in the region. High urbanization rates are concentrating the demand locally (ESCWA, 2007). Furthermore the effects of climate change in the region are worsening the future availability of resources (World Bank, 2009).

Unfortunately inefficient use of the available water is widespread in the region and this was one of the main reasons for GTZ and ESCWA to found ACWUA. Estimated losses by leakages in urban systems often total 40 to 50% (Water Partnership Program, 2009). Such losses are due to the inadequate maintenance of pipes and other physical assets, which in turn is caused by the institutional and financial weaknesses of the utilities. Illegal connections, malfunctioning meters, incorrect meter reading and faulty billing also account for a big portion of so-called Non-Revenue Water (NRW) (ESCWA, 2009). Water policies often involve low or no tariff mechanisms to e.g. protect agriculture. However, in agriculture barely half of the water reaches the plants as intended. Low prices threaten the financial sustainability of utilities and incriminate governmental budgets (Water Partnership Program, 2009). Prevailing centralized organizational structures provide low incentives for utilities to

perform better. Duplication of responsibilities and overstaffing leads to low salaries and discouragement resulting in a lack of skilled personnel (World Bank, 2009).

Though one of the objectives of ACWUA is to promote the use of standards, it has to be mentioned that there is no common standard system in the Arab world. Although the Greater Arab Free Trade Agreement (GAFTA) agreement involves closer cooperation and the reduction of taxes, a homogenization of standards is not explicitly mentioned (compare LAS, 1997). Standards are developed on the national level and most of the countries run an institute that is responsible for issuing them. The institutes are independent or affiliated to a ministry. Health and safety standards orientate mainly on WHO guidelines and ISO standards. The technical standards related to processes and products are based on international (ISO), European (CEN), American (ANSI), or British (BSI) standards. Some of the standards have been developed by the national institutes themselves. The result is often a mixture of standards. Even on the national level e.g. in Jordan, this situation provides problems, because technical products do not fit together. The influence of economic interests by major trading companies importing products from the USA or EU or the producing countries themselves may be hindering an exclusive orientation on CEN or ANSI when there is no ISO standard available (Shehadeh, 2010).

Table 5 shows the national standards and responsible organizations:

Country	Standard	Institute	Status
Algeria	IDT	Institut algérien de normalisation (IANOR), ISO member	National standardization body.
Bahrain	BSMD	Bahrain Standards & Metrology Directorate (BSMD), ISO and GSO member	National standardization body, established in 1988.
Comoros	n.a.	Comores service de la Normalisation/Qualite (CSNQ)	n.a.
Djibouti	n.a.	n.a.	n.a.
Egypt	EOS	Egyptian Organization for Standardization and Quality (EOS), ISO member, affiliate CEN.	Established in 1957 as governmental organization and 1979 reorganized.
Iraq	COSQC	Central Organization for Standardization and Quality Control (COSQC), ISO member	Independent government agency, established in 1979.
Jordan	JS	Jordan Institution for Standards and Metrology (JISM), member of ISO, affiliate CEN	Founded in 1995 as independent government agency, replaced the Jordanian Directorate of Standards (1972).
Kuwait	PAI	Public Authority for Industry (KOWSMD), ISO and GSO member	Founded in 1967, since 1996 a unit at the Public Authority for Industry in 1996.
Lebanon	LIBNOR	Lebanese Standards Institution (LIBNOR), ISO member, affiliate CEN	Established in 1962 as a public organization, currently under rehabilitation since 1994.
Libya	LNCSM	Libyan National Centre for Standardization and Metrology (LNCSM), ISO member, affiliate CEN	National standardization body
Mauritania	-	n.a., correspondent member of ISO	Currently no own standardization activities.
Morocco	NM	Service de Normalisation Industrielle Marocaine (SNIMA), ISO member, affiliate CEN.	State institution, set up in 1970 under the supervision of the Ministry of Industry.
Oman	DGSM	Directorate General for Specifications and Measurements (DGSM), ISO and GSO	National standards body within the Ministry of Commerce and Industry, est. in (1976/1978).
Palestinian Territories	PSI	Palestine Standards Institution (PSI), ISO correspondent member	Established in 1996, the PSI is governed by a BoD from the public and private sectors.
Qatar	QS	Qatar General Organization for Standards and Metrology (QS), ISO and GSO member	National standards body, established in 2002.
Saudi Arabia	SASO	Saudi Arabian Standards Organization (SASO), ISO and GSO member	Established 1992, as an independent body.
Somalia	n.a.	n.a.	n.a.
Sudan	SSMO	Sudanese Standards and Metrology Organization (SSMO), ISO member	Governmental organization, set up in 1993.
Syria	SASMO	Syrian Arab Organization for Standardization and Metrology (SASMO), ISO member	Subsidiary body of the Ministry of Industry (1969), since 2005 ind. scientific organization.
Tunisia	NT	Institut national de la normalisation et de la propriété industrielle (INNORPI), ISO member, affiliate CEN	Public institution under the Ministry of Ind., Energy, Small and Medium-sized enterprises.
UAE	GCC	Emirates Authority for Standardization and Metrology (ESMA), ISO and GSO member	Governmental organization, established in 2001.
Yemen	YSMO	Yemen Standardization, Metrology and Quality Control Organization (YSMO), ISO correspondent member	National authority

Table 5: Standards Arab world, status and name taken from worldwidestandards, 2010; exept Comoros (International Trade Centre, 2010) & Mauritania (Krief, B., 2010), ISO-membership (ISO, 2010); GSO membership (GSO, 2010)

However, all member states of the Arab League (except Comoros) are members of the Arab Industrial Development and Mining Organization (AIDMO). The organization is the successor of the unified Arab Industrial Development Organization (1978) and Arab Mineral Resources Organization (1979) and functions as an Arab specifications and standards organization. The renamed AIDMO started work in January 1990. Since 20 years the organization has been working on preparing a common set of standards to enhance trade in the Arab region (AIDMO, 2010). In the mean time Egypt, Jordan, Morocco, Lebanon, Libya, and Tunisia became affiliates to CEN and the GCC countries founded the Gulf Standardization Organization (GSO). Whether the ACWUA will manage to promote common standards appears to be quite unlikely.

Several organizations have been founded in the Arab region to deal with the heterogeneous situation of water related problems. The Arab Water Council was established in 2004 to “promote better understanding and management of the water resources in the Arab States in a multi-disciplinary, non-political, professional and scientific manner; and to disseminate knowledge, enhance sharing of experience and information for the rational and comprehensive water resources development of the region for the benefit of its inhabitants”(AWC, 2010). The AWC stages workshops and the regional partner fora within the InWEnt program “Strengthening the MENA water sector through networking and training”(Notz, 2010). Furthermore a project of the AWC was launched in 2009 in cooperation with the World Bank, “Public engagement in water management”. Their regional conference, the “Arab Water Forum” will be staged for the second time in 2011 (AWC, 2010). Until now no cooperation with the AWC could be achieved, according to the GS of ACWUA (Kashman, 2010).

In 2008 the Arab Water Academy (AWA) was launched to become a “center of excellence for executive education in water”. The AWA's focus is on strengthening knowledge and skills of

the region’s decision-makers to address and manage effectively the region's water challenges. The AWA is under the umbrella of AWC and both are located in Abu Dhabi. Initial financial support for the Academy was provided by the Environment Agency Abu Dhabi (EAD), the Islamic Development Bank, and the World Bank. Altogether four courses on water diplomacy, water governance, utility reform and non-conventional water resources are being offered for 2010 and 2011 respectively (AWC, 2010).

In 2008 the Arab Ministerial Water Council was founded under the umbrella of the League of Arab States (LAS) and in partnership with AWC. It has so far met three times and is supported by a technical committee (AWC, 2010). Details about outcomes and progress are not yet available in English.

It may be summarized that a regional association like ACWUA may face some difficulties on different levels. The dynamic political situation and a slow economic integration are indicating an expandable level of regional cooperation. With a part exception according to the level of economic integration, the situation is not going to improve in the foreseeable future according to articles revised in the previous chapter. However, indications about the emergence of economic blocks in the Gulf and Maghreb area have been shown. The *Global Environment* of ACWUA is characterized by high dynamics and complexity. These attributes are unlikely to support the work of the organization.

The diversity of national economic abilities and the water resource situation differs widely. Applied technologies are seen as varying accordingly. Harmonization of the water sector according to procedures and standards is currently not supported by the political level. The GAFTA does not promote harmonization according to standards explicitly and the responsible AIDMO does not appear to be making good progress on that topic. Again blocks are assumed to be developing according to standards.

Even the *Organizational Domain*, which is defined as the Arab water and wastewater sector has a high level of complexity due to its heterogeneity. Moreover, the prevailing insufficiencies of utilities are described as a multidimensional problem that results from developable national policies. Regional organizations of the water sector like AWC therefore do not give the impression that they are making notable achievements. The indications for ACWUA, which is going to work in essentially the same *Organizational Domain*, are therefore seen as negative. Competition between the organizations deriving from overlap according to activities has to be prevented. Furthermore, there has been no cooperation between AWC and ACWUA. For example ACWUA's WG on water reuse is seen as a political topic, whereas AWC with its utility reform course touches at least in part the field of the association. A sharp separation of fields of activities is of the utmost importance. The *Task Environment* which is characterized by the direct interactions of ACWUA with its directly relevant actors will be assessed in the following "relevant actors" chapter 3.2.2.4.

3.2.2.2 Objectives of ACWUA

According to Preisendörfer (2005), objectives are necessary to motivate members to participate, control progress and success, give advice and orientation for decisions of responsible actors and legitimate the flow of material and immaterial resources to the organization.

In the case of ACWUA, the objectives are taken from an outdated brochure of 2006 and also from a brochure from September 2010 because they differ. In 2006 the ACWUA was still in project stage whereas in 2010 the organization could be seen as fully operational.

Objectives taken from the 2006 brochure are (ACWUA, 2006):

- Bringing together active water experts and utilities in the Arab region.
- Representation and promotion of common interests of water utilities in the Arab region.
- Exchange and dissemination of information on technologies and best practice.
- Publication, up-dating and propagation of standards.
- Provision of Capacity Development, Benchmarking and performance monitoring
- Collaboration with other associations, municipalities, city councils, water authorities, non-governmental organizations, community-based organizations on the national and international level.
- Conducting studies, advice and consultation in water legislation, policies, management and sector reform.
- Promote certification and accreditation for professionals of the sector.

In the new brochure from 2010 (ACWUA, 2010a), the objectives read as the following:

- "Serve as regional platform for exchange of knowledge and best practice amongst member experts and professionals."
- "Develop resources, facilitate training programs, and advocate for professional certification to enable member utility staff to perform their duties in a professional, reliable and cost-effective manner."
- "Promote standards of performance for governance, management, operation and maintenance of water supply and wastewater utilities."
- "Support the interest of ACWUA members including the provision of advice and consultation in water legislation, policies, and sector management and reform."
- "Develop, promote and disseminate publications and other knowledge products to meet the needs of members and other regional professionals."

Instead of “publication, updating and propagating” standards as mentioned in 2006, the standards should now only be promoted. The “representation of utility interests” has been replaced by the “support” of interests. “Provision of advice and consultation in water legislation, policies, and sector management and reform” replaced the conducting of studies in these respective fields. Furthermore capacity development should only be “facilitated” in 2010 instead of “provided”. The comparatively soft term “publications” to be developed, promoted and disseminated remained in the objectives of 2010.

The vision statements of the organization will be assessed because they describe the desired or intended future state of the organization and therefore its fundamental objective. In the 2006 self-portrayal the vision statement read like this (ACWUA, 2006):

“The Arab Countries Water Utilities Association – ACWUA vision is to be a self-sustainable, strong regional association of Arab water utilities that can provide many benefits in terms of helping members improve their service delivery, make efficiency gains through performance benchmarking etc., develop and meet technical standards, and ensure that the very large ongoing investment programs in the region are well managed (sic!). [...]”

The latest brochure describes ACWUA’s vision statement as the following (ACWUA, 2010a):

“ACWUA, as a regional center of excellence, will partner with water supply and wastewater utilities in Arab countries to provide best practice service delivery to their customers”.

Comparing the two statements, the expression “self-sustainable, strong regional association” vanished. Instead the term “regional center of excellence” is used, which is a far more indefinite term. An association suggests ownership and the commitment of the members, whereas a “regional center of excellence” that “partner(s)” with utilities adumbrates a different relation between members and organization. The deletion of the term self-

sustainability, which refers to financial independence, additionally indicates a change in organizational self-conception.

Since the changes in objectives and the vision statement of the association are strongly related to the financing of the organization, the related articles of the Charter are going to be revised. The Charter of ACWUA is available as an annex of the 2006 information brochure and as the latest version is available to download from the ACWUA homepage (uploaded 29th of September 2008).

Article 12 about the finances of the association has been changed without notification and confirmation by the governing body, the General Assembly. According to the official minutes of the meeting, the 1st General Assembly did not vote on the amendment to the Charter (ACWUA, 2008a)[4] neither did the 2nd General Assembly in 2010.

Article 12 "Finances of the Association" of the Charter from 2006 lists the possible financial resources of ACWUA (2006):

- "Annual membership fees"
- "Donations from members and non-members"
- "Grants"
- "Inheritance"
- "Arab Governmental Aids"
- "Revenues from any of the Association's activities such as publications, studies, advice, consultancies, training, and publications"

The downloadable "latest" version of the Charter from 2008 does not contain the last point on the list. Besides the membership fees only grants and donations are seen as financial resources of the Association. The previously mentioned changes in objectives and in the vision statement are followed by a modification of the Charter.

[4] See Appendix 1 for the necessary amendment procedure

It may be concluded that the objectives appear significantly toned down. Formulations are less definite than before. Given the fact that every country has its own standard issuing entity and AIDMO has been trying to work for two decades on harmonizing them, the shift with respect to standards is highly understandable. Furthermore the representation of interests of governmental water utilities on the regional level seems somewhat dubious. These topics are seen as remains of the DWA concept and are expected not to work in the Arab world on a regional level.

The changes in the objectives take some work load and responsibilities away from the organization as a whole, but reduce also reduce income possibilities. Without the support of the members, the development of studies and publications mentioned in 2006 would be the sole responsibility for ACWUA. This work is seen as not manageable by 8 employees. However, a business plan for ACWUA financed by USAID in 2010 promotes a vast number of publications (Technical Journals, White Papers on Policy, Newsletters etc.) to be developed by the Secretariat (ACWUA, 2010g). Altogether it may be formulated that a certain modesty about the organization’s capabilities seems to manifest itself in the latest objectives. It has adapted to its environment.

3.2.2.3 Structure of ACWUA

The structure of an organization has a normative character, because it determines how an organization should behave. The structure of ACWUA is shown in Figure 6 (ACWUA, 2008c, compare ACWUA, 2006):

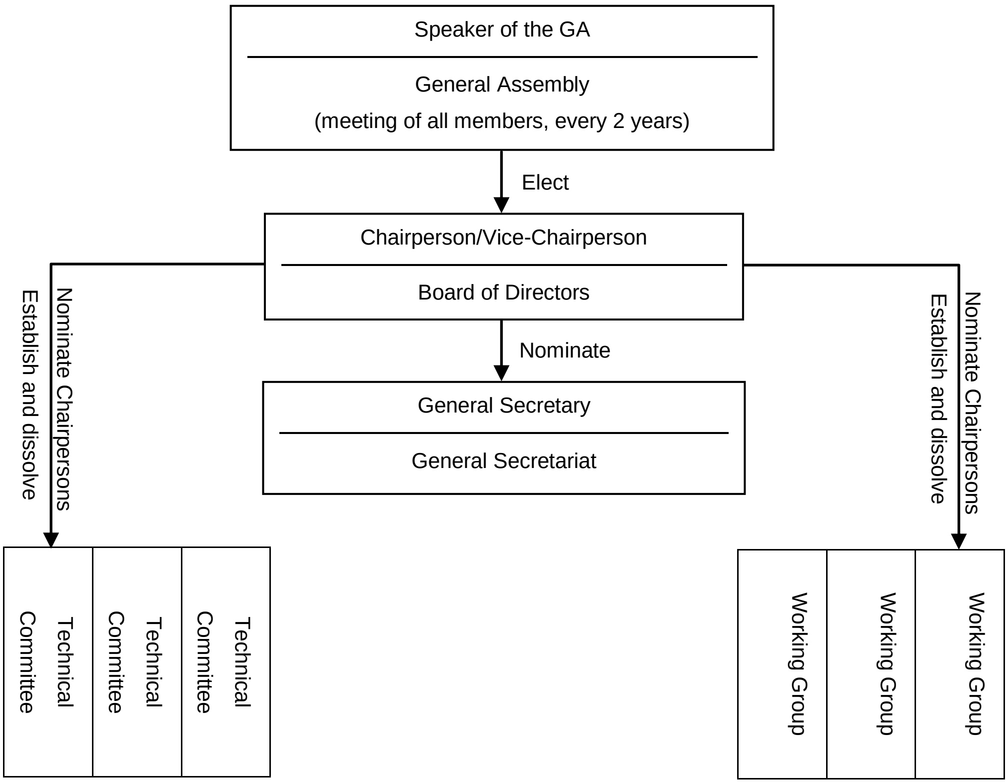


Figure 6: Structure of ACWUA

The following articles are all taken from the bylaws (ACWUA, 2008c) and the charter, which is available to download at the homepage of ACWUA (ACWUA, 2008b).

The General Assembly (GA) is the highest governing body of the organization and meets at least every two years (Bylaw, Article 1&4.1). The members discuss and decide on the personnel of the Board of Directors (BoD), and on financial, constitutional and structural issues. They also decide on long term plans and can dissolve the ACWUA (Bylaw, Article 2.2-9). Membership can be granted to natural (individuals) or legal (utilities, international organizations, non-governmental organizations or private companies) persons (Charter, Article 7.1-3; see Appendix 2 for membership fee system). The speaker is elected by the GA

(Bylaw, Article 1.1). He/She calls for and moderates ordinary and extraordinary meetings of the GA.

The BoD consists of a minimum of 10 members. The utilities from one country vote for a representative of their country. Additionally one representative of the individual members, international organizations, NGOs and private companies is voted by the respective group (Bylaw, Article 6.1). The BoD elects its Chairperson, Vice-Chairperson and Treasurer from the members of the board (Bylaw, Article 6.2). The BoD prepares financial, constitutional and structural issues to be discussed and decided on by the GA. Furthermore the BoD establishes and dissolves Working Groups and Technical Committees and names the respective Chairpersons. The Chairperson of the BoD is the head of executive management and the president of the association (Bylaw, Article 8). He or she represents the associations in all public and professional forums, before the courts and calls for BoD meetings (Bylaw, Article 9).

The Secretary General is appointed by the BoD for a period of 2 years (renewable). He/She directs and supervises the General Secretariat. He/She reports and is responsible to the BoD and represents the association before courts (sic!).

The General Secretariat’s staff is appointed by the BoD upon the suggestion of the Secretary General, and they carry out the day-to-day tasks under his/her supervision (Bylaw, Article 15).

Technical Committees (TC) and Working Groups (WG) are established by the BoD for a limited period of time (Bylaw, Article 16.1). The WGs/TCs consist of qualified members to “deal with specific issues in different high priority areas of the water sector” (ACWUA, 2010e p.8). The Chairperson of the WG/TC reports to the BoD on status and progress (Bylaw, Article 16.5).

In general it has to be stated that the Bylaws and the Charter seem to need revision. Uncertainties such as who is representing the association in front of courts (Chairperson of BoD, Article 8 of Bylaw, or General Secretary, Article 14 of Bylaw) definitely need to be clarified. Furthermore the civil law and especially associational law of Jordan has to be revised to assess compliance with the Bylaws and the Charter of ACWUA. The documents may serve as contracts between the entity and its members. Any gaps, uncertainties and informal changes may provide room for a legal dispute.

Given the assumption that the formal structure of an organization has a "normative character" and determines the "behaviour" (Scott, 2003 p.66, cited in Preisendörfer, 2005), the ACWUA does not behave as intended. As previously mentioned, TCs and WGs are not operational, although they were meant to be the backbone of the organization. The changes in the charter without consulting the GA may indicate the development of an informal structure.

3.2.2.4 Relevant Actors of ACWUA

Determining the members of ACWUA is comparatively simple, but to identify all the relevant actors is neither theoretically nor practically an easy undertaking. Understanding the various interaction of the organization with its relevant actors is seen as necessary to determine the *Task Environment*, which describes the network the ACWUA works in.

According to the 2010 brochure of ACWUA, there were more than 70 water and wastewater utilities from 15 Arab countries (Algeria, Bahrain, Egypt, Jordan, Lebanon, Mauritania, Morocco, Oman, Palestine, Saudi Arabia, Syria, Tunisia, UAE, and Yemen) and approximately 350 individual members (ACWUA, 2008a) are registered. Details and updates were not made available to the author.

Though the majority of the member utilities are governmental entities, uncertainties for the delegates about the desired level of transparency may hinder open experience exchange on the

regional level. The respective governments and ministries may therefore be seen as relevant actors, although their influence remains unclear. However, if they want to influence the utility members, they have the means to do so.

Donor agencies like GTZ, InWEnt, and USAID and in the future may be are relevant actors for the ACWUA. In particular the support of German agencies is seen as significant and their influence as high. Actually it may be limited, because changes in the responsibility for the project occurred quite often. The responsible person for ACWUA changed several times (Mr. Davis, Mr. Gomer, Mr. Meierjohann, Mr. Lück) and the project itself was passed along from Beirut (support of ESCWA in founding ACWUA) to Damascus (regional Bureau of GTZ, for continuing support of ACWUA) and lately to Amman in 2009 (where the General Secretariat of ACWUA is located now). The project is now under the umbrella of the Water Program of GTZ Jordan (Honore, 2010). However, insisting on and supporting of the WGs as an important and moreover distinctive feature of ACWUA by GTZ is seen as highly influential according to structural characteristics of the organization. Support by USAID is of minor importance compared with the German contribution. Their support has remained selective.

International Organizations like ESCWA had influence at the beginning because it was one of the two founding partners. According to ESCWA, the ACWUA is now independent and needs to take care of itself (Chouchani Cherfane, 2010).

DWA played a significant role, because it was contracted by GTZ during the development process and later on to support the ACWUA. Though DWA was last contracted to support the 3rd Best Practice Conference in January 2010 in Rabat (Heidebrecht, 2010), its current influence is seen as minor. The German water sector is using other means, mainly its industrial component, to become active. The German Water Partnership (GWP), an organization that includes industries, various German ministries and associations, supports the 1st Arab Water Week. A memorandum of understanding was signed in December (GWP, 2010). The advantages for GWP are seen in the lowering of transaction costs for reaching out

to potential customers throughout the whole region by connecting to a regional organization (Rothenberger, 2010). How their influence will develop in the future times is currently unclear. However, commercialization of ACWUA is seen as one possibility for ACWUA to survive.

Concluding it has to be stated that for the ACWUA many relevant actors inside and outside the organization have been identified. The *Task Environment* imposes contradictory expectations on the organization. Though being dependent on German development support, the organization has to follow the expectations deriving from the initial concept (WGs, TCs, publications). On the other hand the members of ACWUA do not behave according to the expectations of the main donor for several reasons. The political level is not officially included in the organization.

3.2.2.5 Equipment of ACWUA

In the case of ACWUA two main types of equipment have been identified, namely the secretariat and the webpage with its member area. The secretariat is located in Ar-Rashed in Amman in a representative building. All offices are equipped with new furniture and computers and a meeting area for small conferences is available.

The homepage has been set up, consisting of a public area and a members' area, which is accessible only for ACWUA members with a personal password. When visiting the homepage on the 19th September 2010, the layout appeared functional and a few downloads were available. The members' area is constructed as a Wiki, and should serve as a "knowledge base" (ACWUA, 2010e p.9) where members store and exchange information. It appeared as not being used by the members. Furthermore, only little information which was mainly uploaded by DWA, was available and the members' database had not been updated (ACWUA, 2010f).

All together the ACWUA appears to be a well equipped organization. The virtual equipment, namely the members' area, seems to be not used by the members and may need some updates to appear more attractive. The same applies to a lesser extent to the website of ACWUA.

3.2.2.6 Conclusion of Assessment Step II.

The ACWUA does not fulfil the role of an association for water utilities in the Arab region. Participatory elements are not supported by the members. The lack of support may be related to the fact that the emergence of the organization was not demand-driven. However, looking at the *Global Environment* of ACWUA, there is hardly any room for the proposed activities. The region is characterized by high dynamics and a complexity that is hindering regional cooperation. Consequently all regional organizations in the Arab world suffer from a lack of acceptance by governments which mainly highlight their sovereignty.

Although this effect may be seen as a general problem of regional or international organizations, even entities founded by the governments themselves are not enhancing regional cooperation to any great degree. The League of Arab States and their organizations like for example the AIDMO are not being supported. The states seem to favour bilingual cooperation or integrate economically block-wise. The development of GCC and their GSO at the gulf conveys a clear message. Comparative effects are noticeable to a lesser extent in the Maghreb region, with the AMU and the affiliation to the European standard system. Why exactly a new organization should be able to bypass the obviously unwilling political level remains unclear. The complexity and heterogeneity of the *Organizational Domain*, which is defined as the water and wastewater sector in the region, makes experience exchange appear hypothetical. Best practice publications are assumed to be of a very general nature to be able to include all these differences if ACWUA does not manage to specify the scope of WGs. Whether such publications would be helpful for the daily business of an utility manager or technician is doubted. The same applies for other services provided by ACWUA to its

members. The heterogeneity of backgrounds of the members is seen as hindering the organization to deliver valuable incentives. The *Task Environment*, which additionally consists of non-included relevant actors, cannot be satisfied.

Any new organization suffers from the “liability of newness” as formulated by Suchman (1995 p.589 as cited in Hellmann, 2006). To gain legitimacy he proposes three strategies: Conformity, selection and manipulation. Conformity describes the compliance of the new organization with expectations of the wider environment. Unfortunately the expectations of the environment seem to be limited to attending workshops and conferences and do not include open experience exchange and voluntary work. The *Task Environment* of ACWUA is therefore not seen as supportive for the organizational concept. Selection describes the strategy of choosing the most promising sector for activities, which is definitely not the complex water sector, where other regional organizations were not able to enhance cooperation significantly. However, ACWUA did not choose this itself, but the donors did. Manipulation describes the strategy of winning over the environment by presenting “new explanations of reality” (Suchman, 1995 p591 as cited in Hellmann, 2006). Suchman confesses that this strategy is very risky, because “promulgating novel legitimacy claims is less a matter of management than of evangelism” (Suchman, 1995 p.591 as cited in Hellmann, 2006). Sadly that seems to be the best description for the current situation of ACWUA.

All available strategies to gain legitimacy as an associational concept are therefore not much promising. It may be stated that the concept of an association for water utilities on the regional level simply does not fit in its environment. The struggle of ACWUA has some level of tragedy, because a simple change of the organizational concept is currently not possible. The ACWUA relies on the funding by the German donors and they still support a concept, which obviously does not work. On the other hand the ACWUA cannot develop financial

independence from the donors by generating income based on their members' expertise, because they do not contribute. The organization is caught in a trap. However, slight changes of the concept appear at a level, where they may not get noticed in the first place and show the struggle of the organization to adapt to a complex environment.

4 Discussion

DWA and ACWUA were analyzed means of a two-fold assessment. As a first step the founding process of both organizations was examined. Comparability of the findings was insured by abstracting the process by applying the *Corporate Actor Theory* following Vanberg's (1982, as cited in Preisendörfer, 2005) *Resource-Pool Model*. The theory highlights individual behaviour as a driver for the emergence and success of an organization. *Corporate Actors*, following Vanberg's (1982, as cited in Preisendörfer, 2005) conception, develop when individual actors pool their resources. The sum of resources in the pool are not managed individually anymore but are collectively planned. Joint disposition of the pool generates corporate gain. The corporate gain is then distributed back to the individual members. The three problem fields when setting up an organization are therefore: Initiation/Participation, Decision/Disposition and Distribution.

The initiation of DWA (respectively its main predecessor ATV) dates back to the time of post-war Germany of the late 1940s. The country was in great need of support for reconstruction work. The emergence of the ATV has therefore to be seen as clearly demand-driven. Renowned scientists and industrialists joined forces to support the country by developing standardized procedures and training the necessary personnel. Since working voluntarily for the organization brought with it a good reputation and advantages in terms of building up a career and business network, a great number of professionals from the sector participated. The ATV grew quickly and the pool of bundled expertise, which is the main resource of the association, renewed itself permanently. Today the successor of ATV, DWA remains well connected to decision-makers and to standard issuing procedures even on the supranational level. Decisions on joint disposition of the DWA's pool of expertise are strictly democratic; the governing body of the association is the General Assembly, where all members vote on strategic and financial issues of the organization. An adaptive distribution

key to share the corporate gain of the association can be seen as operational, because the advantages for the individual actor consist of the basic services DWA provides to all members, extended by the benefits deriving from active contribution.

The ACWUA was founded by GTZ and ESCWA in 2006 as an association for Arab water and wastewater utilities to improve water supply and sanitation services in the region by experience exchange. The emergence of the organization has therefore to be seen as donor-driven. An association as an organizational concept is based on a high level of ownership by the members. Though a third party set up the association, a distinctive difference to the structural example of DWA was inherent from the beginning. The “founding partners” GTZ and ESCWA bore the initial costs, invested time and convinced potential members to join. Indications of the problem field of participation were clear; membership appeared unconditional and consequently the utilities remained passive. No significant experience exchange has been achieved in the way it was intended, and the pool of bundled expertise stayed empty. An incentive system for active contribution could not be developed to stimulate the members. The decision structures of ACWUA were shaped democratically following the DWA example, but without pooled resources, ownership remained low. Consequently there is not much for the members to decide on. Their passivity led to hierarchical tendencies with the Board of Directors and the General Secretary on taking the lead. The donors, mainly GTZ and later InWEnt continued to support the ACWUA massively by providing services to the members like training courses, workshops and conferences under the umbrella of the association. A proper distribution key was not developed to reward active contribution because all members received equal shares of these services. However, it remains unclear what the incentives for individuals to contribute could be. The ACWUA is not seen as representing the interests of its members, but rather the interests of the founding partners. Consequently they are the only ones that contribute significant resources to the *Corporate Actor*. The ACWUA therefore lacks the distinctive features of an association.

The second step of the assessment changed perspective. The individual actor was seen as the driving factor for the emergence of an organization. Now that both organizations are existing entities, they have to survive in their respective environment. Therefore an *Open System Theory*, namely *Neo-Institutionalism,* was chosen to describe the interactions of the organizations with their environment. These interactions are diverse but can be codified as institutions, which are accepted rules of the environment the organization has to follow. To track the relation between an organization and its wider environment, an analysis scheme as proposed by Scott (2001, as cited in Preisendörfer, 2005) was modified and adapted. The author proposes to assess the key elements of the organization systematically. These key elements are: the environment (*Global Environment* and *Organizational Domain*), objectives, structure, relevant actor (treated as *Task Environment* in the assessment) and equipment. By assessing the environment and the internal constitution of an organization, the respective fitness of the entity is said to be determined. Neo-Institutionalism describes successful organizations as adapted to their environment. The level of adaptation determines acceptance by the wider environment.

DWA was found to be fully adapted to its environment. The organization fulfils an important function in the pluralistic society of Germany, which is defined as the *Global Environment*, in full compliance with existing institutions. It may even been stated that the DWA is a reification of its global environment, as it incorporated the pluralistic principles into its structure. Parity is maintained in all structural elements. The *Organizational Domain* of DWA, which is the water, wastewater and waste sector in Germany, has some structural complexity. Due to its heterogeneous membership structure and various ways of cooperation with other relevant actors of the field, DWA is able to represent the majority of interests and expectations of the sector. The organization has to be seen as fully accepted and adapted to its *Organizational Domain.* Furthermore a stable and slightly growing number of members underpins the acceptance and support of DWA's *Task Environment*. Consequently the

organization is fully legitimized and competition does not existent. Responsiveness to changes in the environment is fully given due to the structural characteristics of the organization.

The situation for ACWUA differs. The dynamics and complexity of its *Global Environment*, which is defined as the Arab region, hinder the organization in fulfilling its targeted function. Political implications deriving from the regional scale are seen as one of the main obstacles preventing the organization from experience exchange. A political will for regional cooperation could not be defined. A vast heterogeneity of the region's water sector, which is the *Organizational Domain* of ACWUA, constrains not only exchange but also leads to very limited scope of activities that may serve all members equally. The resource situation and the economies differ widely and so do applied technology and performance of utilities. A common standard system does not exist. The organization is not seen as having adapted to its *Task Environment*. Besides the utilities, donors with their own expectations and those at the political level, who are responsible for the weak performance of the Arab water sector, are relevant actors for the organization. The expectations of the *Task Environment*, which is defined as the network the organization maintains direct contact with, are not harmonized with the objectives of the organization. In this situation the ACWUA is not expected to be able to deliver meaningful services and achieve legitimacy in this environment. However, any new organization suffers from the liability of newness and needs to apply strategies to gain legitimacy. The ACWUA found itself in a situation that makes the organization try to win over the environment by presenting "new explanations of reality" (Suchman, 1995 p591 as cited in Hellmann, 2006) by promoting an inappropriate concept. This strategy is less promising, because "promulgating novel legitimacy claims is less a matter of management than of evangelism" (Suchman, 1995 p.591 as cited in Hellmann, 2006). Sadly that seems to be the best description for the situation of ACWUA as a regional association.

5 Conclusion

An organization that is built on individual interests and the expectations of achieving mutual gain by joint action cannot be introduced by a third party. An association that is built on the contribution of individuals has to be initiated by the target group itself. It has to be demand-driven to secure participation. Ownership of an organization and thereby a truly democratic structure can only be achieved by a high level of active participation and contribution. Satisfaction of the individual actors has therefore to be guaranteed by maintaining a fair distribution key of mutually achieved benefits. The DWA is seen as such an organization. By copying the concept and initiating it by a third party as in the case of ACWUA, the functioning of the organization is not guaranteed. The emergence of the association has to be seen as clearly donor-driven and the interests of the target group were merely assumed. Consequently the participation of the members has remained formal, and active contribution is negligible. Mutual benefit could not be developed, which made the donors finance services that were distributed evenly to all members. Active contribution by the members is thereby not expected to be stimulated. The ACWUA is seen as representing the interests of the founding donors and consequently they are the only ones that contribute.

When an organization is set up, the fitness to the new environment is not necessarily given. Organizations react and adapt to expectations and accepted rules prevailing in their environment. The situation for DWA was much easier, because it had to survive on the national level, in an environment that the organization chose for activity. The ACWUA was set up following the structural example of DWA, but in a completely different environment. The dynamic political situation and the wide differences on the regional scale of ACWUA are seen as the major difference because these difficulties leave hardly any room for comparable activities like those which DWA offers on the national scale. Consequently the DWA is seen as fully adapted to its environment whereas the ACWUA finds itself striving for legitimacy.

The necessary adaptation process of ACWUA is expected not to leave much of the original concept of what an association is on the basis of DWA's example. The hypothesis is therefore seen as verified.

6 Recommendations

The assessment of ACWUA shows that the organization is not an association in the classical sense. This does not mean that the project has failed, because ACWUA is characterized by a unique scope and possesses therefore certain strengths.

The strongest feature of ACWUA is its good relation to different donors, and its contact to a large numbers of utilities in the Arab region. These characteristics predestine ACWUA as a broker between the two parties. Furthermore the staff-situation at ACWUA is promising. The General Secretary appears well versed in high level communication and the employees are nearly all from the region. A specific awareness of possible problems and a sensitivity in solving them is expected. However, ACWUA needs adjustments to harmonize objectives with the abilities of the organization.

The overall vision of being a "regional center of excellence" (ACWUA, 2010 p.2) may need to be revised, since the related objective of developing, promoting, and disseminating publications and other knowledge products is not manageable for the eight employees of ACWUA. Support by ACWUA members in developing these products cannot be expected in foreseeable future. Other planned activities such as promoting standards and supporting interests are seen as difficult to realize.

The objective of being a regional platform that provides experience exchange and thereby enhance performance of utilities will be kept and recommendations to accomplish these objectives developed in the following section.

A business-plan financed by USAID (2010) highlights the importance of publications and other income related activities to an extent that is not only seen as unrealistic but even harmful for the orientation of the organization. Aside from income generated by conducting small studies for donors, membership fees, and contribution from the private sector for

staging a conference like the Arab Water Week, the only realistic and meaningful income source is still donor support. If the organization aims to achieve at least some of its objectives, a concentration on practicable activities is seen as of utmost importance. The development of appropriate activities together with the financing donors will serve all parties, namely the member-utilities, ACWUA itself and the donor agencies.

Since the organization's regional scope has been identified as a rather complex working environment, it will be discussed in the following section. ACWUA's services and activities need revision and specification; Suggestions regarding the working-style of the organization and recommendations for donor agencies will be presented at the end.

6.1 Regional Scope

The political implications of ACWUA's activities have been outlined in the assessment as threatening the organization's performance. Conclusions for the organization are to avoid topics that concern the political level, and to concentrate on the utility-level. Topics like wastewater-reuse in agriculture, climate change mitigation, water resource management, poverty orientation (former WGs) or water governance (upcoming training course by InWEnt for ACWUA) are related to national policies and therefore seen as out of the utility-scope.

However, utility reform is an issue concerning both utilities and the political level. Consequently the ACWUA should promote cooperation with organizations of the policy level like AWC and engage in the technical support committees of the Arab Ministerial Water Council. As a positive side-effect possible competition may be replaced by a cooperative working style between ACWUA and AWC. Harmonization by means of a clear definition of the respective fields of activities may turn this threat into an opportunity by facilitating a common planning and communication strategy.

The heterogeneity of the member states is identified as another threat for ACWUA and needs to be better accommodated in the activities. ACWUA needs to increase its knowledge about the diversity of the region and the respective national water sectors. Participants for a workshop or training course should be preselected based on the comparability of backgrounds. Furthermore political relationships among countries should be taken in account. More homogeneous groups are expected to perform better. Furthermore a sub-regionalization of the Arab world is identified as a political reality and should be taken in account. Clustering the region will additionally lead to lower travel expenses for participants.

6.2 Activities

6.2.1 General Remarks

In 2010 ACWUA carried out a needs-assessment with its members. Topics for training courses and workshops have been proposed by the organization for evaluation. The proposed activities have been fully approved by the members according to the General Secretary of ACWUA (Kashman, 2010). However, the topics were of general nature (capacity building, operation & maintenance etc.) and need to be more concrete. Supplementary to this survey, it is recommended to assess successful utilities of the region and to identify the specific measures that led to their enhancement of performance. These measures may be unconventional and therefore not be sufficiently described by following prevailing training concepts. Especially the implication of these measures should be interesting for other utilities.

In general training courses and workshops have to be better differentiated and specified. Whether cost-recovery or non-revenue water (NRW) are appropriate topics for a three-days' activity is highly questionable due to the complexity of these issues. A workshop on a specific aspect of NRW like Micro Private Sector Participation (Micro PSP) concerning the outsourcing of billing procedures or pressure management may lead to much better results.

Furthermore it is recommended that trainings courses be provided for the technical staff of water utilities, and to connect these activities to the next level of supervision in the hierarchy of utilities. Cross-linking activities based on a holistic understanding of utility processes may improve utilities' performance significantly.

6.2.2 Water Operators' Partnerships/Twinning

The Water Operators' Partnerships (WOPs) as initiated by the United Nations Human Settlements Programme (UN-HABITAT) and promoted by Global Water Operators Partnership Alliance (GWOPA) is seen as a promising concept. ACWUA cooperates already with GWOPA and a matchmaking workshop for WOPs was staged in the framework of the Arab Water Week. The concept of twinning is simple: Two utilities partner for a specific time on a defined topic, whereas one serves as an expert and the other one as a recipient. Funding for the expert twin is possible by e.g. the Asian Development Bank (ADB, 2010). The advantage of these arrangements is the personal relationship developing between the twins, which facilitates experience exchange. Trust among the partners and visible effects on the side of the recipient twin have been achieved (compare GWOPA, 2010, WaterLinks, 2010, SEAWUN, 2010). In some cases the contact between the utilities remains vital even after the official arrangement ended (Lipkow, 2010). Guidelines for these arrangements are already available e.g. on the ADB homepage (ADB, 2010). The concept has also successfully been utilized by DWA for years, by promoting so-called utility-neighbouring ("Nachbarschaften") to develop an exchange-network between similar utilities (Heidebrecht, 2010).

Exchanging experience with the Southeast Asian Water Utilities Network (SEAWUN) that successfully implemented some of these WOPs (SEAWUN, 2010) may help ACWUA to introduce the concept in their region. It has to be stated that the ACWUA has to take action

itself by searching the sector for appropriate partners, if the organization wants to become a regional partner of GWOPA.

6.2.3 Training Courses and Workshops

As described above, ACWUA should offer courses that have an appropriate scope and content, and assemble groups of participants with a comparable background. However, the abilities and qualifications of the individual participants are thereby not yet secured. The current selection procedure of InWEnt was explained as the following by a representative: Employees hand in a description of their professional position and a recommendation or allowance letter by their superior (Notz, 2010). However, according to a former consultant, the abilities and contribution by members differ widely (Meierjohann, 2010), and supplementary measures have to be taken to achieve a quality standard in the group.

A simple change in the application procedure introduced by SEAWUN proved to be successful. The experience of SEAWUN clearly indicated that setting conditions for participation in training courses and workshops increased their impacts significantly. A course by SEAWUN on NRW was divided into four meetings and spread over the period of one year. Admission to the course was only granted to utilities that provided basic data characterizing their situation. After the first training session, homework was given. Admission to the second course was only granted to utilities that did their homework. The number of participants reduced by 50% after the first course, but stabilized afterwards. After the fourth course the remaining participants were able to present real results showing improvement. In such a course only those participants remained who were able and willing to improve or change their processes. A positive and constructive atmosphere was created (Lipkow, 2010).

The effects of a training course or a workshop are normally hard to quantify (Notz, 2010). SEAWUN asked for initial data as a condition for participation and the utilities had to present

their results by the end of the training course. These measurable effects made it easy for SEAWUN to apply for further funding (Lipkow, 2010). Unconditional courses are seen as an outdated concept with unclear effects and leave the donors with the problem of evaluating their impacts. It may even be seen as harming the activity of willing participants, by being mixed with participants that are more interested in travelling than working.

6.2.4 Working Groups

Indifferent and inappropriate scopes, the heterogeneity of members, and low incentives for contribution have been identified as possible reasons that made the Working Groups (WGs) fail. When applying the previously mentioned measures to improve the training courses and workshops, a pool of capable individuals for specific topics may easily be identified among the former participants of an ACWUA-activity.

Experience exchange within a group may be supported by previous activities accomplished together. Former participants of a training course, workshop or a WOP may discuss their common experience in a WG. A WG may improve the content of training courses, workshops or the structure of a WOP. A good atmosphere based on existing personal relationship may lead to cooperative working style on a common knowledge basis. The meetings of such a modified WG should be supported by e.g. the trainer of the previous course and/or somebody that is capable of summarizing the findings. ACWUA may publish these outcomes as a service to members and to support donor agencies.

6.3 Organizational Behaviour of ACWUA

In general it may be stated that a stronger focus on the member utilities is advisable. Communication between the secretariat and the utilities needs to be improved to create a feeling of ownership among the members that in turn secures membership fees for the organization. A newsletter should be published to enhance the visibility of ACWUA and its activities. The homepage and the Wiki exchange-tool need to be updated regularly.

Transparency of activities and financing is currently on a developable level. Although no association in the classical sense, paying members are seen as deserving to be more included in decision processes. No or little information leads to an automatic exclusion from decision processes. A participatory concept and a democratic decision structure needs practice and should not be given up at such an early stage.

As previously stated, the objectives of ACWUA and its scope should be revised. A focus on increasing the number of member countries and staging regional conferences does not enhance the performance and experience exchange of utilities significantly. Moreover, the resources of the secretariat are bounded without measureable effects on the performance of the utilities. It may be advisable for ACWUA to utilize its strongest asset, which is seen as access to the donors and the utilities. Identifying demands and developments in the water sector and consulting donors in elaborating appropriate trainings and workshops is a better way to gain acceptance as a new organization.

6.4 Donors

Donors who support ACWUA deserve the same level of transparency as the members do. Furthermore support of ACWUA should be tied to conditions. These conditions need to be chosen carefully. The negative example of GTZ insisting on the WGs in their original sense consumed a lot of the new organization's energy and the donor itself. Like the ACWUA, the donors may need to rethink their expectations according to the scope and activities of the organization. In general, the support of different donors needs to be coordinated and based on a common goal for the organization, especially when a new donor like SIDA starts supporting ACWUA's Working Groups. A realistic business-plan should be set up to replace the one financed by USAID, which is seen as inappropriate. Financing a consultant with experience in managing a network and an organization may help ACWUA to orientate itself in this complex situation.

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Appendix 1

Amendment of the Charter:

Changes in the Charter have to follow a certain procedure. The proceedings are described in Article 19 of the Charter, "Amendment of the Charter" (ACWUA, 2006):

1. A proposal for amendment may be presented in writing either by the Board of Directors or by 30% of the utility members of the Association
2. The text of the amendment shall be sent out with the agenda for the next meeting of the General Assembly according to the provisions of the Bylaws.
3. The decision of amendment requires a quorum of (50% + 1) of members from at least half of the represented countries and a majority of three quarters of the present or represented votes.

Bypassing the necessary procedure concerns the related Article 17, "Compliance with the Charter". Furthermore several articles of the Bylaw are affected by an unofficial amendment of the Charter:

- Article 1: General Assembly
- Article 2: Powers of the General Assembly (especially 2.3)
- Article 4: Meetings of the General Assembly
- Article 5: Voting procedures
- Article 7: Powers of the Board of Directors
- Article 9: Powers of the Chairperson

Completeness of the concerned articles cannot be assured; furthermore the legal framework for ACWUA (Jordanian Law) remains unclear. Nevertheless it may be stated, that a certain risk for a legal dispute may be given.

Appendix 2

Membership Fee System of ACWUA:

Water Utilities (public and private)	Indicative Population size band	Annual Water sales (Mm³)	Annual Membership Fee (US$/Year)	
			Treatment and Distribution Utility	Treatment or Distribution Utility
	up to 50,000	0.0 – 2.5	200	150
	50,001 – 100,000	2.5 – 5.0	400	300
	100,001 – 500,000	5.0 – 25.0	1500	1250
	500,001 – 1,000,000	25,0 – 50.0	2500	2000
	Over 1,000,000	over 50.0	4000	3000
Private Sector	Number of Permanent Staff			
	Up to 50		1000	
	51 – 500		2500	
	Over 500		4000	
NGOs & Academic Institutions	Flat Rate 500 US$/Year			
Individuals	Flat Rate: 50 US$/Year Student Fees: 25 US$/Year			
International Organizations and Donors	• Memorandum of Understanding between ACWUA and the other party • Membership based on mutual cooperation, no annual membership fee but exchange of document, publications, printing of news from each other etc. • Individual sponsorship of ACWUA events or support contracts for activities, e.g. Working Group meetings, etc			

(ACWUA, 2010a)

Appendix 3 – Interview ACWUA

Date of interview:	07.11.2010
Time of interview:	10:00 – 10:45
Language:	English
Interviewee:	Mr. Khaldon Kashman
Position of interviewee:	General Secretary ACWUA
Interview topic:	The status and perspectives of ACWUA

Q: How is the relation between ACWUA and the Arab Water Council?

A (2:08):

- We always target the customers and tackle the problems the utilities are facing.
- AWC is well recognized organization in the region; we have good relation and cooperation.
- We had a forum together by InWEnt and AWC.
- All Arab organizations are combined to enhance the water sector.

Q: Is there an official cooperation contract or a MoU with the AWC?

A (5:05):

- Not yet.
- We first built up our international network.
- I hope in the near future there will be an agreement to regulate cooperation with AWC.

Q: Do you think that there is a certain threat of competition?

A (7:01):

- The ministerial council is the official umbrella for the Arab water sector.

- I was in the first meeting, when I was still GS at the MWI of Jordan.
- Jordan in general promotes regional cooperation.
- AWC, AWA, RAED (Arab Environment Network) and ACWUA have been invited to their meeting.
- The Arab Water week is under the umbrella of ministerial council.
- We can support them and in turn we need their support.
- AWA is not a competing organization; some of their work is related to water utilities, but not their main focus.
- Training is only a part of our mechanism and a little bit more complicated.
- Our work is based on the WGs and studies.
- Afterwards there are going to be publications.
- All of us are combined in improving the water sector, but we need more coordination to prevent overlap and for the timing.

Q: What are the future plans for ACWUA in a 5 to 10 years timeframe?

A (13:45):

- We made a two-year business plan within the foundation plan.
- We updated the business plan to 2014 together with USAID.
- IWA, USAID (ABRI), GTZ and ACWUA
- We agreed on five strategic objectives, which were approved by the BoD
- All twenty-two Arab region should be included
- 100 public utilities in 2014
- The Arab Water sector develops very fast, decentralization is developing very fast
- Nr.3 Technical working Groups are the first issue, trainings is number two, workshops and conferences are third

- 40 WGs should be set up until 2014 and Best Practice Conferences should be 4.
- We are beyond all objectives until now.

Q: What was the outcome of the needs assessment you did?

A (20:45)

- You can see the topics in the brochure.
- Plus we added some topics.
- 85% approved the topics proposed since the first meetings where we did brainstorming on the specific needs.

Q: Are there some difficulties about the WGs?

A (23:35)

- WGs are only one thing among others.
- It is the most sustainable mechanism.
- There are difficulties.
- IWA and DWA are supported by industries; we have to help people to participate in WG.
- That's why we created the WIKI exchange tool, to make it easier for people.
- We asked donors to support WGs.
- The outcomes will be available for the donors as well, and they understood that it is not easy for a normal employee to leave his working place on his own expenses.
- ACWUA is different, that's the organizations strength, I see people being more committed by time

Q: Are the publications of the WG supporting the finances of ACWUA?

A (31:16)

- The utilities are paying a high fee up to 3000$.
- I don't believe in much income from the publications.

- More important is being the host of such events.

Q: How do you see the financial future of ACWUA?

A (34:34):

- Membership fees, Benefits from conferences, exhibition and trainings.
- We accept donor help, the office is paid by the Jordanian government.
- A lot of donors are interested in supporting ACWUA.
- What we need is the money for the running costs.
- Some studies may generate income.

Q: Do you think about a multi-donor strategy in future?

A (38:01):

- We don't expect donors to pump money in our operation costs.
- If more money is paid it will help to achieve our objectives soon.
- If the money does not come, it will only slow the development of ACWUA.
- Through our activities we generate money.

Q: May I see the plans?

A (39:47):

- You won't get the financial plan, only the strategic plan.

Appendix 4 – Interview DIN

Date of interview:	27.09.2010,
Time of interview:	10:00 – 10:50
Language:	German, translation by A. Weiss
Interviewee:	Mr. Andreas Paetz
Position of interviewee:	Project coordinator, Deutsches Institut für Normung e. V. (DIN – German Institute for Standardization), Normenausschuss Wasserwesen (NAW – Standard Committee Water)
Interview topic:	German water sector associations and their role on the development of standards and regulations.

Q: When a working group for Standards is founded, the so-called interested circles are informed to participate. Who are these interested circles and who do they apply for participation?

A (4:30):

- No difference when forming a group for a national standard (DIN) or asking for cooperation for an international standard (ISO)
- By experience a group of people is already defined due to long-term or newly started contribution to specific sector topics. Direct contact is facilitated through specific advisory boards of DIN (industrial associations and others like DWA, DVGW are members of these advisory boards).
- A call for application is published on the homepage and the DIN-journal “DIN-Mitteilungen“

- Industries, research institutes, associations and universities apply for participation. They can participate even when the working group already started work. Working groups are no “closed job” but the number of participants is limited to remain capable of acting.
- In other EU countries the process is similar.
- On the European level of Standardisation the national committees sends representatives into the European committee to represent national interests.
- On the European level European associations can take part as associate member in standard committees. They are allowed to contribute, but they got no voting right. This possibility is getting utilized significantly by e.g. the EWA.

Q: When talking about standards of the wastewater, waste and water management sector, is the DWA always a member of standard committees on national and European level?

A (8:24):

- DWA and DVGW got in general always interest in all working groups on technical water topics.
- They decide about their level of contribution.

Q: Is there any competition between associations of the same sector in Germany?

A (8:55):

- No competition on the national level.
- Associations are institutionalised.

Q: Does DVGW manage the committee?

A (10:05):

- DIN has the management responsibilities of all standard committees.

- DIN runs the secretariat and manages the European standards committee CEN TC 165 for wastewater technology. Standards for products, terminology, planning and all other topics concerned with wastewater are the working field of this committee (founded 1988/89).
- Chair of this committee is always an expert of the field, until 2009 the chair was hold by Dr. Pecher, (comment: who was serving in various positions at DWA, honorary member 2009, new chairman is Mr. Kristeller, also very active at various committees at DWA, ref: Yearbook 2009, DIN and DWA)
- Another important committee is CEN/TC 164 for water supply. Management and secretariat is with AFNOR (national standard institute France), high-ranking representatives of DVGW are sent there.
- The national committee of gas supply has its secretariat run by DVGW.

Q: DIN standards are sometimes getting merchandised jointly by the DIN and the DWA. Do these joint publications have a direct economic dimension?

A (13:40):

- Does not know about that. But knows about the specific field, planning and laying out of waster sewers.
- DIN standards since 1920 and ATV standards since 1949.
- DIN therefore decided that without the ATV-expertise a significant input to euro-standards cannot be facilitated
- Therefore cooperation between ATV and DIN, which included joint economic use of common standards for both organisations. There shouldn’t be two parallel standard systems in the same field.

- Only specific areas where DWA and DIN decide to elaborate and merchandise a joint product for the users.

Q: How does standardization work on the European level?

A (17:03):

- 30 European national standard institutes (EU + EFTA + candidates).
- Voting is weighted according to GDP.
- "The technical work is dominated by a few countries (Germany, France and Great Britain). On some topics partial interests of Italy, Spain, Austria, Portugal and Scandinavian Countries are present. The remaining 20 countries don't do much. They do send experts to the committees and do not give written comments."
- Historically these structures are not present in the other countries. No comparable human and financial resources available.

Q: Is the low contribution of for example the eastern European national institutes and thereby national sector organisations related to the forced and centralized structures of the former regimes there?

A (21: 47):

- Bilateral projects between Germany (DIN) and eastern European countries gave some insights in the associational landscape there.
- All the structures broke, only a few countries managed to re-establish these structures, but money is still missing to be on the same level with the bigger countries.
- By web-conferences at least in some smaller working groups it is tried to participate these countries.

Q: Was the sector controlled or represented by the old structures?

A (24:00):

- Colleagues from associations that work together know much more about other countries. People meet at conferences and exchange information about structures.
- Standards are not that important in these countries.

Q: Why are standards and the elaboration of standards not that important in Eastern Europe?

A (26:12):

- Influence of standards is not very high on the associations.
- AFNOR, DIN und BSI are strongly connected to their national sector organisations since decades.
- Institutionalised structures according to information exchange prevail.
- There is a common national interest to support or to prevent certain developments on the European level, if possible.
- No interests present in Eastern Europe.

Q: Does the influence of the associations relate to economic interests, like e.g. the development of products?

A (28:00):

- The interest is connected to the economy of a country.
- German manufactures are very important for wastewater products.
- British associations and manufactures use their old contacts to implement technology and services in the Arab world.

Q: Since 1975 the DIN is mandated by the German Government to produce standards. Who did it before?

A (31:30):

- The so-called standardisation-contract was made, as a regulation on European level became apparent.
- It was seen as necessary to speak with one voice and to represent national interests on the European level.
- Standardisation contract is very complex and was adjusted several times.
- DIN was pledged to give priority to projects that were seen as of utmost importance by the German Government.
- Laws and regulations should not be contradicted by standards and DIN has to work always on products within the framework of existing laws and regulations.
- Importance of DIN also in the light of deregulation. Laws and regulations don’t contain technical details, but refer to specific DIN or other standards.

Q: Does the sector of water, wastewater and waste to these prioritised topics?

A (35:45):

- In general associations manage to get their topics worked on; the government does not have to prioritise them.
- A guideline on products for construction is on that priority list (includes water and wastewater materials like e.g. pipes etc).
- Another highly prioritised field is the environmental analytical procedures to support the current works on regulations (80 references are sometimes annexed to the new laws).

Q: What is the relation between the standards and drafting of laws and what role do the associations play in society?

A (39:00)

- There are different procedures prevailing in Europe.
- Currently a lot of sector specific regulations are in the process of amendment.
- The implementation of the European Water Framework Directive produces a lot of work and the German Directive on drinking Water is getting amended.
- No direct involvement in drafting of the laws is prevailing, but all of the relevant associations are getting heard and give comments on the draft. The drafts are getting send to associations and other relevant organisations besides the political institutions.
- A hearing is getting staged and all interested representatives are getting invited. Their comments are getting worked into the draft.
- In general it could be stated that the associations (among others) have a consulting function.
- DWA und DVGW are always contacted within this process. DWA in the sector of wastewater, waste and water management and DVGW in the field of water supply and potable water.

Appendix 5 – Interview DWA

Date of interview:	16.11.2010
Time of interview:	10:00 – 11:00
Language:	German, Translation by A.Weiss
Interviewee:	Mr.Rüdiger Heidebrecht
Position of interviewee:	Head of Department Training and International Cooperation, DWA; Consultant to GTZ for ACWUA project
Interview topic:	ACWUA and DWA

Q: How many employees work at DWA?

A (1:45):

- 120, 80 full-time
- 100 in Hennef, 20-30 in the national sub-branches

Q: Are there WGs on the national level?

A (2:17):

- There are commissions on the national level
- All groups consist of members from all member groups (associations, research institutes, industries etc.) and discuss abut locally relevant measures
- Standards and the set of regulations is worked on in the headquarters

Q: Training are also getting developed in WGs?

A (3:33):

- There is a technical head committee

- 160 people work on the training courses, subdivided in the different fields of water and waste water management and waste.

Q: How are members for the groups selected?

A (4:40):

- The speakers of the groups meet voluntary and regularly
- They discuss the scope and concepts for new trainings
- New groups are getting assembled or dissolved.

Q: If there is a new group, how to find the people for it?

A (5:44):

- In our journals there is a call for a new group
- The speaker of the WG is nominated by the technical head committee and chooses from the applicant new members for the group
- He or she is following a certain procedure for choosing, to maintain a mixed membership structure
- The people are then getting called for contribution

Q: What are the incentives for somebody to contribute?

A (8:18):

- Your name is on the standard or the regulation (reputation)
- Network with colleagues (job-opportunity)
- Courses for a new standard are required and somebody who been working on the standard may give the training afterwards or speaks about it in meetings and conferences (income and reputation)
- Contracting possibilities for engineering offices
- Support for research projects

Q: Does work in such a committee or WG run always smooth?

A (12:12):

- There are a lot of arguments, sometimes it takes very long to find an agreement
- A certain procedure on the higher level mediates in case of a severe interest conflict
- The chair of the WG has to be a good moderator
- There has to be consensus otherwise it needs to be compromised
- Everybody needs to be satisfied

Q: Would it work like this in another European country?

A (14:01):

- In France the situation is different.
- Standards are getting developed by two or three industries.
- All know-how is there at the industries.
- Standards do have a patent character.
- In Germany the sector does it on its own in a self-regulative way.

Q: What was the starting point of ACWUA?

A (16:35):

- Public and official starting point was Cairo 2006.
- Starting point for preparation was the 2005 meeting in Hennef.
- The idea came from Digby Davis, when I was working in Palestine in 2004.
- We developed the idea.
- The original name AWUN was changed to ACWUA by Mr. Davis.
- Charter and Bylaw was accepted in Abu Dhabi.
- The charter and bylaw came into full force in Alexandria.

Q: Did the 1st GA vote on the charter and bylaw explicitely?

A (23:18):

- The constitution is valid since Abu Dhabi.

Q: Is the AWW the first event of ACWUA?

A (24:21)

- Yes.

Q: Since when does DWA have an international orientation?

A (27:50)

- 1993 international standards on the EU level.
- 1989 the EU decided on a common market and spent money on common EU standard system.
- Beginning of the 1990ies DWA supported the new eastern European countries.
- Since 2003 the DWA accepted the MDGs and will work on the international level (together with dc organizations).
- Since 2005 cooperation with DED.
- DWA is a BoD member at GWP.

Q: Did DWA support the ESCWA in the founding-process of ACWUA directly.

A (42:58)

- DWA was contracted by GTZ to support ESCWA.
- Since January 2010 there is no contract with GTZ anymore (until Rabat).

Q: What do you think about the WGs?

A (32:40)

- Difficult, CB-WG is cared for by InWEnt now and a consultant was contracted.

Q: Do you know about the other WGs?

A (34:32)

- I don't know about that, but there is not much happening
- Only maybe the Wastewater reuse is active, as far as I know.
- The voluntary work is not yet accepted by the members

Q: You also have been active in the BoDs.

A (36:12)

- Last meeting we attended the BoD was in Alexandria
- The directors been less respectful with one and other, competition prevails but the atmosphere is improving.
- The situation is normal.

Q: Kaldoun Kashman is an important figure?

A (38:55):

- He is important a integrative person and the most active one. He understood early that ACWUA is a good job
- He also understood that the ACWUA is best located away from the other organizations.
- The AWW was his idea
- But he has some deficits in services for the members

Appendix 6 – Interview ESCWA

Date of interview:	24.09.2010
Time of interview:	9:00 – 9:45
Language:	English
Interviewee:	Mrs. Carol Chouchani Cherfane
Position of interviewee:	Chief of Water Resources Section, Sustainable Development and Productivity Division, ESCWA
Interview topic:	The relation of ESCWA to ACWUA

Q: What's the role of ESCWA for ACWUA?

A (2:43):

- ESCWA was a founding partner; ACWUA is an independent entity now.

Q: ESCWA is out right now?

A (3:56):

- We still support ACWUA according to activities.
- We enhance the visibility of ACWUA in international podiums.
- We do not interfere in the micro management of the entity.
- ACWUA is independent now and stands on its own feet.

Q: Why was ACWUA set up?

A (4:31):

- Water utilities' partnership showed the potential of exchange and networking.
- No network was existent in the Aeab region.
- Strengthening the sector by setting up a network.

Q: Networking was the main objective for ACWUA?

A (5:40):

- Capacity building is not the main task of ACWUA, an association is a professional network.
- ACWUA is comparable with an association of teachers or construction workers, it provides information and trainings and ca therefore not be seen as a solely capacity building measure

Q: Associations represent common interests. Is there a common technical interest throughout the Arab region?

A (7:04):

- One could come up with the question about what the Arab region is. Does it exist?
- All utilities supply water or provide sanitation services. There is a natural affinity of utilities and therefore a potential to learn.

Q: What about the Working groups?

A (8:35):

- One has to keep in mind that the ACWUA is new.
- More work has to be done.
- Capacity building is the most active group because it is an easy topic, the others need to improve.

Q: Where do you see the specific characteristics of ACWUA with for example the AWC?

A (10:32):

- Not the AWC but InWEnt provides training to utilities.
- AWC works on the water policy level, but they are not responsible for utilities.

- I do not see competition with the AWC, nor with other training providers like InWEnt or USAID.
- We should go through an Arab organization like ACWUA, otherwise we just export ideas from the west to the south and that's the quickest way to failure.

Q: Would you connect the AWC to the policy level and ACWUA to utilities?

A (11:35):

- You got policies that are related to utilities. But the focus is utilities.
- AWC is policy.

Q: AWARENET was a project of the UN, what's the relation of ESCWA to AWARNET?

A (12:01):

- AWARNET is different from ACWUA.
- AWARNET still exists but is a developing stage.

Q: Among the CAPNet it is the less active one, because it has no sub-regional network?

A (13:45):

- You don't need a sub-regional network to make it work.
- You may have something for the Gulf.
- 22 countries is the ideal size.

Q: Does that imply something for the willingness to exchange information and network?

A (16:10)

- Information has a political connection.
- AWARNET is more heterogeneous group from different entities, therefore we should leave it aside.
- I agree about political sensitivities when exchanging data, but there are other modes of information exchange like twinning or mentoring.

- ACWUA will help to develop indicators for the MDGs that are going to be stored at ACWUA and will make the organization a knowledge hub. Information from ministries and utilities will be bundled there.

Q: How will that work?

A (20:18)

- ACWUA will be the home of that data.

Q: What kind of services will ACWUA provide to its members?

A (10:48)

- Exchange, trainings, regional dialogue to enhance problem understanding etc.

Q: How to motivate members to contribute?

A (22:13)

- They have to know their benefits.
- You have to respond to needs and engage in activities to cover that.

Q: ACWUA should be financially sustainable. Is there a need for further funding to provide services to members?

A (23:57)

- Chamber of Commerce, Syndicate for Industrialists, all of them are working with partners.
- ESCWA is providing all members of the industrial association in Lebanon trainings on climate change and others.
- Someone has to find out the needs and respond to them, ACWUA is doing so.

Q: It would be an advantage if ACWUA won't depend on one partner?

A (26:48)

- There are a lot of partners right now. They do not depend on one partner.

Q: Is there a competition?

A (28:01)

- There is no competition in the region.

Appendix 7 – Interviews GTZ

Date of interview:	04.10.2010,
Time of interview:	15:00 – 16:00
Language:	German, translation to English by Aharon Weiss
Interviewee:	Mr. Reinhard Meierjohann
Position of interviewee:	Former consultant to ESCWA contracted by GTZ, now freelancer
Interview topic:	Roots of ACWUA/German water sector

Q: On what organization is the ACWUA concept based on?

A (00:52):

- The ACWUA concept is based on DWA, DWA was the example and thats the direction the ACWUA is developing in.

Q: What was the role of Mr. Heidebrecht of DWA?

A (07:35):

- He was there from the beginning, he knows a lot about the project and gave a lot of input
- But his point of view is from the German side and he has always been the contractor for the project, contracted by GTZ and had very large influence on the whole project.
- I would like to give some general remarks: ACWUA was not set up because some specific demand was formulated from the region, it is a donor-driven concept
- Most important figure was Digby Davis.
- For many years the developed countries consulted the less developed countries that did not work due to cultural reasons.

- There is good practice in the region, so why not using this and providing it to everybody
- From the region to the region, not north-south but south-south
- A good performer of e.g. NRW should tell somebody else from the region how to do it
- ACWUA should provide the knowledge from the region to others
- This happens very slow and gets very slowly accepted
- People got everything unconditional, many benefits (travelling, workshops, conferences, cars, computers) been provided cost-free in past times to be able to consult people
- These expectations still exists, that hinders ACWUA
- It was Heidebrecht's idea to do it like in Germany, working-groups should be set up where people exchange knowledge
- I attended also WGs, they work excellent. They develop best practice and disseminate them to the others. Other professionals follow up.
- The ACWUA WGs do not work until today.
- The idea is fairly new for the Arab world; they have to work in their free time.
- 10-15 people should come together and write a few pages about their current situation. And everybody should follow the best procedure that should become the standard.
- Until the WGs are accepted it is continued with trainings and conferences.

Q: Are the best practice publications comparable with the "DWA-Merkblätter" (German best practice standards issued by DWA)?

A (16:25):

- They are comparable.
- The DWA also works on German water laws, European water laws, working committees etc.

Q: What are the roots of German water associations?

A (17:23):

- Industrialization, industries gave the work to experts.
- Also industrial associations provided cost-free support to the state.
- But all was voluntary.
- DWA is a success-story in Germany and the reason for the good performance of the sector.

Q: There are high incentives to contribute voluntary to such WGs in Germany, isn't it?

A (18:46):

- That was something that the fathers of ACWUA did not think about: high salaries in Germany promote the will to contribute voluntary, the good career options due to the contribution in WGs.
- I made a fantastic career and was the youngest municipal director for construction in the whole state, my contribution in WGs was very helpful.
- A normal employee in e.g. Amman earn so less money that they work additionally and have no free time or interest to work voluntary.

Q: Do you think that posts in many countries are not given to persons because of their dedication, but due to other reasons?

A (20:28):

- That may relate to the whole society structure.
- But there are chances for people to make a career without personal connections.
- But it does not help your when you work in a WG of ACWUA, nobody recognizes or awards that.
- Public well-being is not that topic in the Arab World.

- WGs were attractive for members, when they could travel to workshops and conferences, the moment they had to write a simple report, it changed. Nothing came from their side.
- We had one WG, where somebody been writing something and gave it to the others for comments. No single comment was given on that report.
- The WGs have to be organized completely different for the Arab world. Until now they have not been found.

Q: Do you have an idea how this WGs could be made operational?

A (23:29):

- They have to be guided by a local consultant.
- The consultant has also to write the protocol, they won't do it.
- If best practice wants to be collected from the region, it has to be done like this.
- Experts have to collect the information.
- People will not meet together voluntary and pay the expenses (or the company) to develop publications.
- That's ACWUA's problem.

Q: So do you think funding is necessary of the WGs?

A (25:50):

- Yes, maybe.
- But even the participants from the rich Gulf countries expect their expenses to be paid by ACWUA.

Q: Is that maybe related to the fact, that ACWUA is perceived as donor organization?

A (26:18):

- That's a good point. Maybe that was a mistake from the beginning. It was massively founded by the donor side. Everything was cost-free
- When I came we suddenly had no money anymore
- Interest in contribution went massively down

Q: Do you think the choice of members of a WG should be done by ACWUA and not on a voluntary basis?

A (27:28):

- How should ACWUA now who should be good on a specific topic? They got to leave t with the
- Choice of employees does also when done by the utilities not necessary bring the best people to the WGs
- It is the same with DWA, not necessarily the best people come
- There are procedures about the working groups, but in reality it is different
- ACWUA is interested in keeping the people with the organization, and these things are always decisions of the highest level
- ACWUA has to be careful not to get into trouble with them
- You got to have people that are accepted by the bosses
- There are good people, but also others in the WGs

Q: Is loyalty more important for being chosen than dedication in their utilities some cases?

A (29:37):

- That's no problem; important is that people meet and that they are dedicated.

- I see the problem more on the donor side; they destroyed commitment by unconditional giving during the last 30 years.
- ACWUA has a good financial basis due to the membership fees; they may bare some of the costs.

Q: The number of employees is growing; do think there is money left?

A (32:12):

- 4 people are paid by ACWUA (Kaldoun, Assam, Dana and others) and there is a contribution by GTZ.

Q: Do you see an Arab solidarity that would promote such voluntary contribution?

A (33:01):

- There are similar problems (state, management and others).
- No cost recovery.

Q: That problem is common in nearly all developing countries, where is the comparability?

A (34:03):

- That's true.
- Investment in infrastructure in Jordan is completely paid by donors, since decades.
- That's another reason for ACWUA, responsibility should be stimulated.
- Solidarity is not given, but the situation is comparable.

Q: What was your role during the set-up of ACWUA?

A (35:12):

- I was consultant for ACWUA and successor of Mr. Gomer and Mr. Davis.
- Mr. Davis had problems in understanding that WGs won't work in the Arab context.
- Secretary General knows how to network; Mr. Nasereddin and Mrs. Sezer do the factual work.

- The GTZ thought after three years the organization will be fully accepted. That was not realistic.
- The idea is very new and does not reflect the culture of the region.

Q: Does the concept reflect the general behaviour of donors to export inappropriate techniques to developing countries?

A (38:01):

- There is some contradiction. An organization based on a Northern concept was introduced to enhance south-south experience exchange.
- The perception is getting shared by Mr. Honore, SIDA and USAID.
- For example cost recovery will not be achieved very soon. The concept is well understood, but the structures provide hardly any room for improvement.
- Centralized structures are one of the main problems. (...)

Q: Development cooperation follows certain national interests of the donor countries. Is there a critical view on that by the receiving countries?

A (48:43):

- No, I never recognized that although it would be understandable.
- The decision makers receive many incentives, and therefore welcome these mechanisms.
- No acceptance problems derive from these reasoning. (...)

Date of interview:	17.10.2010,
Time of interview:	12:00 am – 12:45 am
Language:	German, translation to English by A. Weiss
Interviewee:	Mr. Guy Honore
	Mr. Dieter Rothenberger
Position of interviewee:	Head of Water Program, GTZ Jordan
	Project manager Operation, Management, Support, GTZ Jordan
Interview topic:	Concept of ACWUA and future perspective

Q: How was the relation between GTZ and ESCWA while founding ACWUA?

GH (1:02):

- I was not there, but as far as I know it was like that:
- Support by GTZ for ESCWA in the field of water governance.
- It was agreed on an association, although a internet platform or professional training courses would have been possible.
- ESCWA is out now, which is not correct. ACWUA is the product of a project, not an ongoing project.
- It turned out nowadays that GTZ supports ACWUA, but the basic idea was to support ESCWA.
- ESCWA is a normative institution (five similar organisations on the globe), they report directly to the General Secretary. Their task is to write reports and to collect information. They are not implementing projects usually. It was agreed on an association and ESCWA was out of this decision. That procedure was not appreciated by ESCWA.

- I got the responsibility for that project since last year. The association was already there, Secretariat and Secretary General already in place.
- Project responsibility came from Mr. Dieter Gomer (GTZ Lebanon) to GTZ Syria and then to the Water Program of GTZ Jordan.

Q: Who initiated the idea?

GH (4:30):

- I don't know from whom the initiative came. I guess by Digby Davis and DWA.
- The idea of an association is a favourable concept, when supporting ESCWA on the regional scale. To be precise, it is one possibility.
- Why DWA? Maybe the DWA had own interests in showing and selling their own concept.
- DH joins the interview.
- I got a different opinion about the ACWUA and the DWA. DWA was founded after war in a general environment of change. Second we did not start in Europe with a regional water association. We all started with state (comment: national sub-groups, due to the federal system of the BRD) associations. The state organisations are still strong today.
- No it is getting tried (comment: at the ACWUA) to get people on one table that got no comparable background. Null. The common Arab identity (comment: politically) is questionable. It is a construction. But that‘s alright. One could state that the European identity is a construction as well. What got the Moroccanians to do with Yemenis and Northern-Sudanese or the Syrians. What got the Germans to do with the Sweds or the Dutch? A common roots of their language. Should they now found a Germanistic Water association? I do not understand a Swed. That's the same here. Additionally they got different political systems and society structures.

Q: The reason for a European community is more like that it generates an incentive, trade for example. Are besides the humanistic reasons other reason necessary to cooperate?

GH (8:22):

- Conflicts should be prevented between France and Germany about coal and steel. It developed, more members came. The most important reason for founding of the EU in the early days was to prevent another war. Wars also cost a lot of money…

DR (8:35):

- The vehicle economy was used, because it was seen as functional. But the reason was to preserve peace in Europe e.g. between France and Germany who been fighting for centuries. Nowadays in a situation where a conflict theoretically could start, the CEO of Mercedes Benz would call the chancellor to stop these things. They got factories and markets in the other countries.
- Economy was used to get into a win-win-situation. To go back to ACWUA, it could be stated that setting up a regional organisation without the national structure was like the second step before the first.

Q: Wouldn´t it be a different project according to scope and expenses, to start national associations?

GH (10:03):

- That was never planned. I agree on DR's statement that the second step was done before the first. It was wishful thinking and not a clear objective. It was not clear in the beginning what we want to achieve. That utility members exchange among each other is nice, but so what. Where is the added value? Value can only be added, when people open up. I cannot image that. On the last conference in Morocco in January, everything was at its best. Everybody had been praising its own work. The first step is talk about problems and to criticise.

Q: Is this exchange possible in future and how will it look like?

GH (11:20):

- An association for Arab institutions is important.
- Optimistically seen: ACWUA as a vehicle for understanding of nations and for conflict prevention
- But not necessarily on a working group level to exchange technical knowledge.

Q: But that is the political level, isn't it?

GH (12:21):

- That's the only perspective I see, like the Ministerial Meeting of Arab Water Ministers.

Q: That's associated with the Arab Water Council, isn't it?

GH (12:35):

- Yes. They met three times, but could not agree on a common strategy.
- Exchange on a utility level under these circumstances is seen critically.

Q: What should be the circumstances?

GH (13:10)

- Everybody should talk about its problems.

- Pride resulting from the political situation (and mentality) hinders that.
- Competing systems are not willing to expose their weaknesses.

DR (14:02)

- Technical persons do not travel to ACWUA meetings.
- Representatives are of the highest level. But a highly politicised audience will not exchange technical information, because they do not know about these things or do not want to talk about it.
- Difference to DWA: meeting of technical personnel to exchange experience and to solve specific problems.
- On the national level possible, but regionally not possible. Low possibility to increase technical performance of water utilities. That's the problem of the working groups.

Q: So would you agree on the statement that the regional scope lead to a politicization of ACWUA?

GH (16:55):

- I agree. Outcomes are hard to identify when informal talks and getting to know each other is the main task
- Difference to DWA-publications, no specific outcomes. No career advantage by participation, low salary. The whole incentive system is missing at ACWUA.
- One idea which was not supported by BMZ and ESCWA was financial support for the working groups. Money as incentives and to get people coming (travelling costs).
- A loose exchange on the working level is nevertheless seen as important.

DR (19:30):

- It is an honour to work in a DWA working group.

- But a newly founded organisation like ACWUA has no reputation. Delegation by the bosses could be a way, to be recognised when doing a good job at the working group.
- Incentive system is not clear.
- Companies pay sometimes in Germany and meetings are easy to reach. On regional scale the travel cost are a problem.
- Financing travel expenses could be a way, but not to let the secretary general come but to finance technical exchange. To organize the human resources of WGs by funding.
- Exchange is only possible by travelling. Somebody has to pay these expenses externally.
- ACWUA then would be a DC-organisation.
- Initial support for founding and then to phase-out this financing (when reputation is achieved)
- Maybe 10 years for gaining reputation

Q: 5-10 years of financing necessary?

GH (24:30):

- I support this idea. But the original idea is different.
- Exchange is one thing, production is something different (DWA concept)
- BMZ wants results (products)
- Needs assessment was made last year, donor-driven instead of demand-driven.
- To initiate demand, it needs one generation or half-generation.

Q: The basic idea of developing products was financing partially of the association. What will be the financial basis of ACWUA?

GH (29:35):

- Donors, German (1 CIM + 1 half CIM, GTZ support, InWEnt activities), Swedish, Americans (Blue revolution project), CIDAR

- Secretary General plans professional trainings, to sell products and organizing conferences.
- ACWUA as exchange platform for Arab institutions for national understanding and conflict prevention and water governance.
- Additionally the link between GWP and thereby the German industry and Arab utilities.

DR (33:58):

- One access point for the German Industry, bundling makes the Arab market more attractive, lowers transaction costs
- Increasing performance is not achievable.

Q: Do expenses on one side with unclear outcomes and the link to GWP on the other side balance the whole project economically?

DR (36:07):

- The difficulty lies in measuring the outcomes of a governance project.

Q: Access to all Arab countries for the German industry could generate direct added value of the organisation?

GH (38:49)

- That is commercialisation of the organisation.
- ESCWA (and maybe) BMZ refuse this idea, ACWUA would not make sense for them.
- Secretary General has tendencies in this direction, to form a limited company
- ACWUA could be a consulting company as partner for Dorsch, AHT or others for tendering processes.

DR (39:30):

- ACWUA should not be reduced to commercial purposes.

- Members do have expectations about ACWUA. These expectations are not being exposed to German products. It won’t make sense to highlight this aspect.

Date of interview: 17.10.2010,

Time of interview: 12:45 am – 1:15 pm

Language: German, translation to English by Aharon Weiss

Interviewee: Mr. Dieter Rothenberger

Position of interviewee: Project manager (Operation, Management, Support for the Water Authority, Water Program, GTZ Jordan

Interview topic: Concept of ACWUA and future perspective

Q: What is your job-description?

A (00:10):

- Water supply component of the GTZ-Water Program
- Efficiency of utilities of Madaba, Zarqa and Barqa (together with consulting companies)
- Operation, maintenance, structural tasks
- Micro-PSP (e.g. billing/incasso, doubled revenue in Madaba by contracting EngiCon)
- Support for ACWUA (expertise), not part of the project.

Q: How does your support look like?

A (02:46):

- "People I work with are potential participants of ACWUA meetings"
- Middle and higher management, technical persons, people of the target group that could contribute to Working Groups.
- People now at the working groups are from higher level (political level). They lack time and detailed expertise to contribute in a meaningful way. Most of them come from the sector, but lack practical up-dated knowledge.

Q: These technical persons are well known by the international donors in all of the Arab Countries. Do you think that with the help of international consultants good working groups may be compiled?

A (05:35):

- “Yes for sure, but nomination of candidates lies in the hand of the partner (ministries of the Arab countries etc).”
- “We try to influence the process by offering funding of technical persons to go to such meetings. In Rabat we sent 10-12 people, which represented the technical side appropriately. But that was a conference, not a WG”
- Technical persons mostly lack skills for WGs (writing concept papers and developing working procedures), consultants took over this works (not only skills but also a time problem).

Q: The concept of ACWUA is moving away from the original idea of a self-organized association. Can’t this concept be realized right now?

A (09:19):

- At the moment it cannot be realized.
- The concept was maybe too optimistic. Regional scale of ACWUA instead of national scale at DWA, reputation, momentum of DWA, voluntary work as honour etc
- Voluntary is not very common among technical persons of the sector.
- “A director earns 500-600 JD, why should he work voluntary additionally. What’s the incentive?”
- Assumes that founders of the DWA been financially settled and later normal engineers started contribution.
- Associational work as GTZ and UNESCWA assumed, will not work here at present.

Q: Is there room in the Arab societies for voluntary work and for the formulation of interests, as in an association?

A (23:40):

- There was maybe never room to develop such activities due to the specific political conditions in society.
- In Germany that did not came at once too. It developed.
- In Germany the contribution to associations is based on the reputation. This misses here until now. Maybe ACWUA will be able to generate some incentives based on reputation.
- Momentum now has to be generated from outside, but long-term dependencies have to be prevented.
- The donor landscape unfortunately provides always somebody who pays. That was not the purpose of ACWUA
- Ownership has to be realized and therefore a phasing-out strategy has to be developed.
- The balance between patience for development of such an organization and specific temporary boundaries for support has to be found.
- Monitoring and measurability of success of ACWUA is hard to define.

Q: Is a multi-donor strategy for ACWUA wishful, due to the loss of influence on its development?

A (18:25):

- For Germany it would be advantageous to combine with GWP, but according to the process it would be better to have a multi-lateral support of ACWUA (change of national policies).
- This support has to be organized and focused, orientated on full ownership, not on replacing a donor that quits supporting.

- USAid financed a business-plan and supported some WG activities. I don't know about formal donor round (also general ones exist) on ACWUA, but this would make sense.
- Paris agenda, harmonizing makes always sense.

Appendix 8 – Interview InWEnt

Date of interview:	05.11.2010
Time of interview:	11:30 am – 12:00 am
Language:	German, translation to English by Aharon Weiss
Interviewee:	Mrs. Andrea Notz
Position of interviewee:	Project manager Administration, "Strengthening the MENA water
sector	through networking and training", InWEnt
Interview topic:	Relation between ACWUA and InWEnt

Q: What's the name of the InWEnt project that is supporting ACWUA?

A (00:30):

- It is a full program called "Strengthening the MENA water sector through networking and training", which gets coordinated with the GTZ
- The program includes a yearly "public awareness dialogue", which is about how to do campaigning and targets people working in that sector (including utilities). A yearly workshop is staged before this dialogue.
- In the case of ACWUA a project was developed that includes four topics of special interest by utilities.
- For each topic a "Training of Trainers" (ToT) is getting organized for 12 interested trainers.
- ToT and a regional training (Alexandria) were carried out on "Key performance indicators and benchmarking" for 35 participants. A course on the same topic will be staged for "high level management" at the Arab Water Week.

- Regional training in Alexandria targeted mid to upper level management (operative management)

Q: Where was the ToT for Alexandria staged and who was attending?

A (04:35):

- In Trottau, Germany, at one of our training centres.
- The candidates were chosen by regional partners.

Q: How does such a process of choosing work?

A (04:58)

- These people are professional trainers (with various employers and from different positions), and training means mainly training on contents. Additionally didactic methods are getting.
- All teachers need to have experience in teaching and specific knowledge about the sector.

Q: These trainers have been carrying out the regional training course in Alexandria?

A (07:26)

- The trainers have been chosen from the ToT. The international trainer, who moderated the ToT, served as “backstopping supporter” to support preparation and staging the regional training in Alexandria.
- ToT for “Effective Leading and communication in managing water utilities” already to part, and the regional training course will follow in November in Amman. Backstopping will also provided via internet and telephone.
- Third topic is “Negotiation and cross-sectoral coordination for good water governance” and fourth topic is “Enhancing business performance through quality management and standards”.

Q: Is the program finished with the completion of the 4 respectively 8 courses?

A (10:07):

- The program goes from 2009 - end of 2012.
- The regional trainings may be repeated. We received 110 applications (up to the deadline and various more afterwards), 35 applicants have been chosen. Therefore the course may be repeated.

Q: Are these courses only for ACWUA members?

A (11:04):

- The regional courses are limited to ACWUA members, when enough apply for.
- There is an agreement (01/2010) between ACWUA and InWEnt to strengthen the ACWUA and support the association to build up a reputation as service provider for utilities.
- The objective is that they are going to do trainings on their own in future.

Q: Do you think the ACWUA will be able to provide trainings by the end of the program scheduled for 2012?

A (12:10):

- I cannot give comments on that. We will have to see.
- Furthermore the “Partner Forum” is part of the program, which is a yearly event about “Good water governance in the MENA region” with changing topics. The “Partner Forum” targets the political level, whereas the regional training courses target the utility level and the awareness targets the public.

Q: The program (ACWUA) switched from a technical level to a more political level?

A (14:35):

- We try to tackle the problems from different levels (InWEnt program)

- ACWUA is getting supported by choosing from applicants and by organization.
- The “partner fora” are getting organized with the Arab Water Council as main partner.
- For courses targeting utilities the ACWUA is partner. They complement each other.

Q: Is there a phasing-out strategy for supporting ACWUA?

A (16:54):

- At the moment there is nothing. The internal restructuring process (GTZ, InWEnt and DED are going to merge) has to be awaited.

Q: How do you check, whether the middle management or the upper level is attending the courses?

A (17:58):

- Applicants apply and send their CV and most of the times a recommendation letter and an allowance letter are attached by the utility. We check this at that phase.
- And in case of emergency we check partner organizations in the region like e.g. GTZ

Q: So choosing from applicants is the way to filter applicants?

A (19:12)

- They need the allowance from their employer to join.
- ACWUA itself may propose somebody they know for attending the course.

Appendix 9 – Interview JISM

Date of interview:	24.11.2010,
Time of interview:	11:00 – 11:30
Language:	English
Interviewee:	Mrs. Dalal Shehadeh
Position of interviewee:	Head of Editing and Follow up division, Standardization Department, Jordan Institute for Standards & Metrology
Interview topic:	Jordanian Standards and Arab standards

- Jordanian standards are based on ISO, CEN, ANSI, BSI
- Technical committees discuss on them
- TCs include research institutes (like UJ), industrial chambers, ministries; stakeholders involvement follows European example
- Twinning arrangements between CEN and Jordanian/Syrian Institute for standards
- Sometimes ISO gives workshops as well
- Standards derive partly from national standards especially compliance between ANSI and CEN sometimes a problem
- Piping standard related to ANSI in Jordan (many construction standards are related to CEN)
- Important traders have influence and prevent a complete switch to CEN
- Standards on the national level are very difficult
- Most of the Arab countries have an institute that is responsible for standards
- Importance to harmonize the standards on the regional level to enhance trade

- AIDMO (Arab Industrial Development and Mining Organization) tries to do so
- TCs with representatives of all states, one state proposes acceptance of national standard, circulation for comments and then possible changes and acceptance
- Standards on the regional level even more difficult ("22 times more difficult than on the national level")

Appendix 10 – Interview SEAWUN

Date of interview:	08.11.2010,
Time of interview:	15:00 – 16:00 am
Language:	German, translation to English by Aharon Weiss
Interviewee:	Mrs. Ulrike Lipkow
Position of interviewee:	Program consultant, South-East Asian Water Utility Network
Interview topic:	Experiences of SEAWUN

Q: How did you manage to get benchmarking data? Is there a connection to your structure of the BoD, where in your case representatives of national associations or ministries are members?

A (04:45):

- Not all countries have a national water utility association
- Some difficulties in assembling the BoD
- Benchmarking has a long tradition in S-E Asia, Worldbank and ADB have project there
- Two benchmarking studies by ADB/SEAWUN with members/non-members
- Financial data are very sensitive and are hard to get
- The other data are getting compared to improve

Q: Where does this desire to improve come from?

A (07:23):

- It is part of our charter and was communicated right from the start by the donor ADB
- Improvement is starting point, no improvement without benchmarking

- Benchmarking is not getting perceived as a tool of control, but as a management tool. That’s how the ADB (and Worldbank)communicated it from the beginning
- Some countries (Vietnam, Laos and Malaysia) do benchmarking because the governments want too. These data are getting published anyway by law. That’s why we get it.

Q: So it is based on national policies?

A (08:37)

- The reasons are different.
- The members had an interest in the beginning to find their weak points.
- Some had benchmarking before, others introduced it recently.
- ADB and Worldbank supported SEAWUN and demanded data to control efficiency of the trainings. Doing benchmarking sometimes also brought funds and support by these donors for the utilities.
- Motivation is basically the same like in Europe. To find the sectors a utility needs to improve.

Q: I recognized that in the latest benchmarking report less utilities attended. Is this related to less support by the ADB?

A (11:12):

- The countries have more national benchmarking programs (since 2006/2007).
- Indonesia runs an own program.
- Laos is new in the SEAWUN program, to check their own benchmarking program.
- In general regional benchmarking is getting replaced by national programs.
- We still need this data to control effects of our own training programs (as indicator).

Q: Does water in s-e Asian has less political implications than in the Arab region, due to being abandoned?

A (13:59):

- It is only a management question. Quantities don't matter.
- Management has political implication, because it shows the abilities of a country to tackle it's tasks.
- Political reforms to decentralize and for cost recovery have been introduced, but go along with the loss of power for some.
- No cost recovery no good management, but tariffs are getting set by governments. The countries differ very much.

Q: Is there a greater transparency among higher developed countries?

A (15:49):

- Not necessarly. The utilities share their data with us. More decentralized countries down to the municipality level (Indonesia, Phillipines) share data more often. Less decentralized water sectors like in Laos, Malaysia, Vietnam (regional level) behave different. Malaysia is very transparent.
- Better managed utilities tend to publish their data more often. That's also related to the enormous efforts necessary to collect the data.
- In Vietnam the political pressure is very high, therefore they publish it.
- Phillipienes just started with benchmarking. Initiative came from the national association (two associations, with homepage of one, where data are getting published). Awards are getting granted to members of the national associations for good performance in various categories.

Q: Is there another water organization in the region?

A (20:55):

- Not the ASEAN and nor the political sector.
- ADB supports Asia-pacific water development forum (the scope is broader, groundwater protection, agriculture, flood protection, wastewater and water supply) but is more academic.
- Waterlinks (USAid, IWA, ADB), whereas IWA was contracted by the donors. SEAWUN is one of three regional organizations. Trainings and Twinning are getting offered.
- Twinning is working very good and utilities like it very much.

Q: How many twinnings did you have among your members?

A (23:45)

- 14 twinning projects are running or finished. Finished means that the official part is finished, but the utilities are still in contact (e-mails, telephone, meeting on other conferences).
- Twinning lasts 12-24 months can last longer.
- Some started with one topics and continued with another, because it worked very good

Q: Are national or regional twinnings favourable?

A (25:24):

- For some countries national twinnings would be better due to language problems (Indonesia, own program by ADB).
- For others regional twinnigs are better to take one. A look over the national borders is seen as helpful. To see how another utility is working in another political context could be helpful.
- The idea of regional cooperation is thereby promoted.

- One utility in Malaysia (a private company) developed to a NRW expert and everybody wants to twin with them.
- There is more time in a twinning project than in a workshop. People get used to management structures, an openness to try new things develops.

Q: How does the Twinning concept proceed?

A (27:34):

- People need to know about it. It develops because it works in most of the cases.
- A manual had to be built up by ADB and Worldbank (length, structure, frame, financing) after the experiences of the pilot-phase. It is still fairly new.
- Since may 2010 it is published.

Q: Is it more successful, than trainings were only the directors of utilities come? They lack insights in the details of problems?

A (29:18):

- We staged last year a series of workshops about NRW (four weeks per year).
- To qualify for the training, data had to be provided.
- Homework was given and practical works had to be done. The people who did not do their homework, were not invited to the next training.
- 40 utilities started, 20 utilities stand the workshops through. I consider it a good concept. Real effects and improvements been visible after one year.
- For the first workshops a few people from many utilities were invited. That was mainly management personal.
- For the second workshop more people from fewer utilities were invited. Technical staff was then also there. (On proposal of ADB, Other utilities were invited to join, that already did something in the sector of NRW and proved their potential.)

- We also staged had a two day training on tariffs. Due to the political situation in some countries, the effects of such training are minor.
- The next workshop is planned with WHO on water safety plans. A concept like NRW is favoured by me. These trainings are more costly but have greater effects.

Q; Do your members use the members area on the homepage?

A (32:45):

- It's very new and did not work properly. Since three month we are able to measure its acceptance.
- That's our new work-package by ADB, to prove whether it works or not. But its not used that much right now.
- ADB covers partly our operational costs. We have a measurement contract with them. It means that we have to achieve something to get support.

Q: There is pressure on you to get funding, like on the utilities to get services by ADB?

A (35:47):

- Basically the operational costs of the secretariat should not be covered by ADB.
- After 5 years the Secretariat should be independent.
- One of the work-packages by ADB was to achieve XX% of membership fees.
- Without the pressure of ADB it probably would not be achieved.
- Many members do and did not pay, therefore only about 50% of the operational costs are covered by the membership fees.
- We were until then not very active in collecting our fees, but that changed.
- The biggest problem is how to get our directors to support such measures.
- A measurement contract is a big incentive to improve our performance.

- Until 2008 the ADB covered the first membership fee per utility completely. This was not seen as helpful and therefore cancelled. Many did not pay in the second year. It was not a sustainable concept.

Q: How many people are working at your office?

A (38:12):

- Five people (communication, book-keeping, assistant to the executive director, executive director and me as CIM-expert).
- But I get also a local salary plus one by CIM.

Q: Do you plan to diversify your financing, by e.g. publications, workshops?

A (39:43):

- Publications do not work with our few stuff.
- but we do studies, like benchmarking for which we get money by Worldbank.
- No own courses, that makes no sense.
- The courses are getting financed by donors, our members are from low income countries.
- What we do is that we assess the needs of our members and develop concepts and search for partners (also like IWA that propose experts).
- ADB said that they are going to support us further (next three years), the contract runs out in February 2011.
- Part of the contract will be to develop solutions to be independent of funding.
- We assess at the moment the opinion of our members and based on that we are developing our sustainable financing concept.

Q: What are you planning, to raise the membership fees?

A (42:40):

- No. But we should think about more definite membership fee structure. Currently the members interpret it very different. But that's hard to discuss.
- A more fair system is desirable (big utilities pay too less and small too much).
- We definitely have to increase the ratio of members that pay their fees, 65% is to less
- We have to achieve 85-90%.
- And we need to expand our activities, we just recently assessed the number of utilities in our member-countries.
- Not only for more fees, but also to be an attractive partner for donors to contact attractive utilities, which whom they want to work with and we ourselves want to be attractive for donors to stage workshops with us.
- We are got a good presence in Malaysia, Laos, Thailand, Singapore, Vietnam, but in the very decentralized countries Philippines and Indonesia the potential is enormous.
- Our Board just thinks about who could be interested but also who could be interested for us. We want active members that write e.g. for our journal or take part in the benchmarking program.

"تحديات نقل مفهوم تنظيمي للمنطقة العربية"

تقييم للجمعية العربية لمرافق المياه (ACWUA)

إعداد

هارون فايس

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الأستاذة الدكتورة زابينِة شلوتِر

ملخص

تدرس الأطروحة عملية نقل لمفهوم تنظيمي من سياق الدول المتقدمة إلى بيئة دول الجنوب كمشروع تعاون تنموي. تأسست الجمعية العربية لمرافق المياه (ACWUA) بالتعاون ما بين الوكالة الألمانية للتعاون الفني (GTZ) و اللجنة الاقتصادية الاجتماعية في هيئة الأمم المتحدة (ESCWA) في عام 2006 وتعمل بكامل طاقتها منذ 2009 . تقوم الجمعية العربية لمرافق المياه على إتخاذ الجمعية الألمانية لإدارة المياه و مياه الصرف الصحي و المخلفات الصلبة (DWA) كنموذج يحتذى و بالتالي يفترض بالمنظمة الجديدة أن تطور نشاطات مماثلة. تعتبر ال (DWA) تنظيما ناجحا لقطاع المياه والتي كانت قد طورت مباشرة بعد الحرب العالمية الثانية لدعم إعادة الإعمار في ألمانيا بحيث تكون تنظيما من قطاع المياه ذاتي التنظيم. الحالة في ال ACWUA تختلف كثيرا عن مثيلتها بما أنه يفترض بالمنظمة الجديدة أن تعمل على مستوى إقليمي و بالتالي تفتقر إلى المساحة لأنشطة مقارنة كما هو الحال لدى مثيلتها الألمانية. تم تطوير مصفوفة تحليلية لعمل تقييم مقارن بين كلا المنظمتين لإستبيان الفروقات بينهما و ليخلصوا بنتيجة تمكنهم من التعرف على القطاعات القابلة للعمل في ال ACWUA. إن نشأة كلا الجمعيتين كانت مستخلصة من نظرية *(Corporate Actor Theory)* و على غرار نموذج

(*Resource Pool Model*). تتأثر ال ACWUA بمانحيها و بالتالي تختلف في نشأتها عن مثيلتها التي أنشأت إستجابة للمتطلبات. وبالتالي فقد تم تحديد الآثار الناتجة عن أسلوب نشأة الجمعية على مساهمة الأعضاء الفعالة و على عملية هيكلة القرارات في المنظمة. و بينما يمكن التعرف بوضوح على فوائد المساهمة في ال DWA فإن هذا غير ممكن في ال ACWUA. لقد تم تقييم ملائمة كل من المنظمتين للبيئة المحيطة بهما من خلال تحليل يعتمد على مفاهيم مستمدة من مفهوم المؤسساتية الجديدة. لقد تم تحليل كل من البيئة المحيطة بكل من المنظمتين، أدائها و دستورها الداخلي و من ثم تم ربطهما معا. وقد تم التعرف على الخلل بأنه في عملية نقل التنظيم مما أحدث عملية تكيف أمكن إقتفاء أثرها. لقد أظهرت المقارنة بأن تعقيد المنطقة العربية يعوق ال ACWUA عن أداء نشاطات مستمدة من المثال الألماني. إن الظروف التي أدت إلى إنجاح ال DWA غير متوفرة لل ACWUA على المستوى الإقليمي. وفي حين ترتبط ال DWA بشكل جيد بمختلف العناصر الفاعلة في قطاع المياه الألماني، تعمل ضمن المعايير المحلية و الدولية، لها تأثير على مستوى إتخاذ القرار و مدعومة بصناعة محلية قوية فإن ال ACWUA تفتقر إلى هذه الشروط المسبقة لنفس النشاطات. و بالنتيجة فإن ال ACWUA ما تزال في مرحلة إكتساب الشرعية و تحتاج إلى إعادة تعريف نطاقها و نشاطاتها لتستمر كمنظمة جديدة النشأة.

كلمات البحث:
التطوير التنظيمي - العالم العربي - مفهوم المؤسساتية الجديدة - Corporate Actor Theory - Resource-Pool-Model